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ABSTRACT

Compiled as part of a study of the managerial competencies of research librarians, this annotated bibliography includes sources that relate to the knowledges, skills, and attitudes of managerial personnel, with implications for research librarians. Sources pertaining to competency research methodology are also included. The bibliography is arranged in three sections, according to the relevance of the sources to the study: the first section contains 42 references judged to be of the greatest relevance; the second section lists 25 references that were also considered relevant; and the third section includes 10 references that might also be of interest. A detailed summary is provided for each source. (KM)

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ANNOTATED BIBLIOGRAPHY
ON
MANAGERIAL COMPETENCIES

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Bibliography

Section I

Ahrens, Stephen, and Charles H. Bryson. "Characteristics of an MIS Executive in Higher Education." CAUSE/EFFECT. 6(1):2-6 (January 1983).

Relevance: /

This paper describes the characteristics of an effective MIS (management information system) executive in higher education. The characteristics of an effective MIS executive in higher education are different from those of an effective MIS executive working in a business environment.

The authors describe five stereotypes of MIS executives in the context of Blake and Mouton's managerial grid, which reflects the interaction of concern for people and concern for production in a two-dimensional chart. The first stereotype, the flamboyant conceptualizer, has no place on the managerial grid. While the flamboyant conceptualizer is creative, perceptive, and persuasive, he fails to oversee the day-to-day operations and detail work necessary to complete the management information system. The benign under-achiever (1,9 on the managerial grid, indicating extreme concern for people with no attention to production) takes no risks, makes few mistakes, and allows the project to die of lack of inertia and commitment. The tyrant (1,1 on the grid, indicating little concern for people or production) is tough on non-critical issues, noncommittal on important issues, and basically ineffectual. The efficiency expert (9,1 on the grid, indicating extreme concern for production with no concern for people) has excellent organizing abilities but little imagination and so designs a system with relative inflexibility leading to costly "retrofits." The fast-tracker (9,9 on the grid, highest concern for both production and people) combines the best traits of the efficiency expert and the flamboyant conceptualizer. The fast-tracker is the ideal person for an administrator in business but less effective in higher education where there is so much less control over political matters. In higher education the most effective MIS executive probably falls in the 5,5 area of the managerial grid ("country club executive" style) because this type of manager leads, motivates, and communicates rather than commands.

The effective MIS executive in higher education possesses the following characteristics: "(1) Takes more of a leadership role; spends more time planning and supervising. (2) Allows employees freedom to do their jobs their own way. (3) Relies on team building efforts. (4) Involves employees and encourages understanding of entire project. (5) Encourages suggestions. (6) Issue-oriented/social synergism. (7) Very good at interpersonal skills and is a good team person and morale builder. (8) Understands the power structure and recognizes political interest groups; a very effective political diplomat."

Beachler, Dean E.; Joswick, David C.; and Shubert, R.J. "Are Your Professionals Staying Professional?" Personnel Journal, pp. 478-83; 511 (Sept., 1978)

Relevance: 1

A project was developed to meet three objectives: 1. To raise expertise levels of quality assurance engineers. 2. To provide updated position descriptions and evaluations to assist management in classifying work. 3. To develop staffing profiles to guide management in human resource planning. A model was designed to establish a standard for reviewing similarities and differences in each organizational division; writing accurate engineering job descriptions; presenting the project concept to division management and final recommendations to corporate management. The implementation plan was developed using a participative management strategy involving all personnel resource and quality assurance managers and all affected professional employees.

Beatty, Richard W. "Personnel Systems and Human Performance." Personnel Journal, pp. 307-312 (April, 1973)

Relevance: 1

Selection, training, motivation, and evaluation of employees should not be departmentalized. Their interdependence should be recognized. Examination of the total personnel system should begin with the evaluation subsystem, not with selection. Evaluation is crucial to integration of the personnel function into an organization through identification of goals. Diagnostic performance evaluation aids selection by tying output goals to inputs essential to successful performance. With behavior for job success determined selection based on behavioral data of candidates is possible. Training can improve performance by using performance evaluations to identify behavior causing lack of job success, then training candidates to acquire specific behaviors. Motivational systems can use intrinsic or extrinsic reinforcement to improve performance where other subsystems fail.

Becker, Stephen P. "Competency Analysis: Looking at Attitudes and Interests as Well as Technical Job Skills." Training, 11, pp. 21-22 (Dec., 1977)

Relevance: 1

When developing training programs the component parts of competencies that the learner needs to acquire in order to function effectively must be described as specifically as possible. Only then can objectives be determined. A competency consists of six parts: knowledge (awareness); understanding (comprehension); skill (ability to perform a task); value (an accepted norm); attitude; interest (motivation). In turn there are six methods for analyzing competencies: task analysis; plan analysis (if a new skill is to be developed); research; expert judgement; individual or group interview data; role playing of an interview. Change in values, attitudes, interests is facilitated through structured experiences, case studies, tests, critical incidents, etc. to allow learners to clarify values, attitudes, and interests.

Butler, F. Coit. "The Concept of Competence: An Operational Definition." Educational Technology. 18(1):7-18 (January 1978).

Relevance: |

The author presents a model for the concept of competence, which he defines as "the knowledge, skills, values and attitudes needed to carry out properly an activity important to success in one's personal or professional life." The model was designed to be used in conjunction with curriculum development and includes a taxonomy of competence and a method for determining competence.

The taxonomy of competence has five levels of competence from very basic generic competences to behavioral objectives describing very specific knowledge and skill components. Generic competences are basic to all learned performance and consist of fundamental skills that "provide the basis for every human activity." Definitive competences are less global than generic competences, are derived from institutional goals, and define the general content of the curriculum. Enabling competences describe "the knowledge, skills, attitudes and contexts through which students can demonstrate the definitive competences." The emphasis at this level is on the demonstration and evaluation of competence. The fourth level in the taxonomy consists of learning objectives which describe particular subject matter and specific skills necessary to demonstrate competence. Finally, behavioral objectives describe very specific knowledge and skill components derived from learning objectives.

To operationalize the definition of competence, criteria, standards and conditions for each enabling competence must be established. Criteria for competent performance include the kind of knowledge and skills required, i.e., qualitative determinants. Quantitative standards define the extent of knowledge and the range of application required. Conditions define the degree of self-sufficiency and level of authority required.

Butler, Richard; Clark, Natalie; and Schwendiman, Gary. "Assessing Bank Managers." Bankers Magazine, pp. 43-6 (Sept./Oct., 1981)

Relevance: 1

The Individual Assessment Profile consists of a questionnaire reflecting management skills relevant to a specific company; use of the questionnaire to determine perceptions of a manager's ability by subordinates, peers, superiors; presentation of results to the individual; development by the individual of an improvement strategy.. IAP can be administered later to evaluate success of individual action plans. Managerial skill areas evaluated in application of IAP included performance feedback, managerial approach, managerial work performance, delegation, communication, use of objectives. Results indicated manager strengths in technical knowledge, work quality, and communications. Weaknesses were in development of subordinates, conflict resolution, delegation, and involvement of subordinates in objective setting.

- Carroll, Stephen J. and Craig Eric Schneier. Performance Appraisal and Review Systems: The Identification, Measurement, and Development of Performance in Organizations. Part of the Scott, Foresman Series in Management and Organizations. Illinois: Scott, Foresman & Company, 1982. 284 pages. (BUS HF5549.5 .R3 C37 1982).

This work is part of a series intended to act as supplemental reading in basic management, organizational behavior, and personnel courses, as well as for forming the nucleus for specialized courses. The books in this series address major issues and provide summary treatment of a variety of subject areas, i.e. Interpersonal Communication in Organizations, Task Design, and Developing and Training Human Resources in Organizations. In focusing upon major issues, the series' authors present a balanced content coverage aiming at the breadth of those issues through the unified presentation of different types of materials including major conceptual and theoretical approaches, interesting and critical empirical findings, and applications to real life management and organizational problems.

This book was written for persons who are faced with the task of designing, implementing, and evaluating performance appraisal and review systems in organizations in which those to be rated are from diverse occupational groups, and it also addresses simultaneously the needs of students, academic and applied, who seek a comprehensive understanding of the empirical and conceptual bases of the appraisal process.

The purpose of this book is to explore the performance appraisal and performance review process and goes beyond discussion of the completion of rating forms to a broader framework encompassing a sequential set of complex activities, roles, responsibilities, and interactions that culminate in a rating. In this attempt relevant organizational research and theory are brought to the surface, while appraisal and review are part of a set of interdependent human-resource management activities which are linked to selection, training & development, and compensation.

This work is divided into nine chapters, followed by an excellent listing of reference sources comprising twenty-three pages. In addition to the reference sources listing there exists subject and name indexes.

Chapter One defines the nature and scope of performance appraisal and review (PAR), as well as the objectives, problems, and activities crucial to understanding and implementing PAR systems in an organizational context.

Chapters Two through Four explore the cognitive, personality, perceptual, and individual variables that influence the success of a PAR system including basic psychometric issues and legal restraints which are imposed on all human-resource measures used in decisions made about people in a work environment.

Susan Johnson

Chapter Two addresses considerations and problems in the choice of criteria, or dimensions of job performance, on which to base appraisals. Before an organization can develop a sound PAR system it must make basic measurement decisions such as whether to evaluate ratees on specific job behaviors, personal characteristics, results from rating instruments & formats, or the combination of the three. A second general class of PAR difficulties covered in this chapter concerns that of what is termed as rating problems. Rating problems arise as a result of the manner in which raters actually complete rating forms, such that consistent results across raters are not obtained. Also taken into consideration is whether rating scales of various types measure what they were intended to measure. Chapter two discusses content, construct and criterion-related validities. The reliability and validity addressed is discussed with an emphasis on the types of validity generally applied to PAR systems and methods for assessing each type.

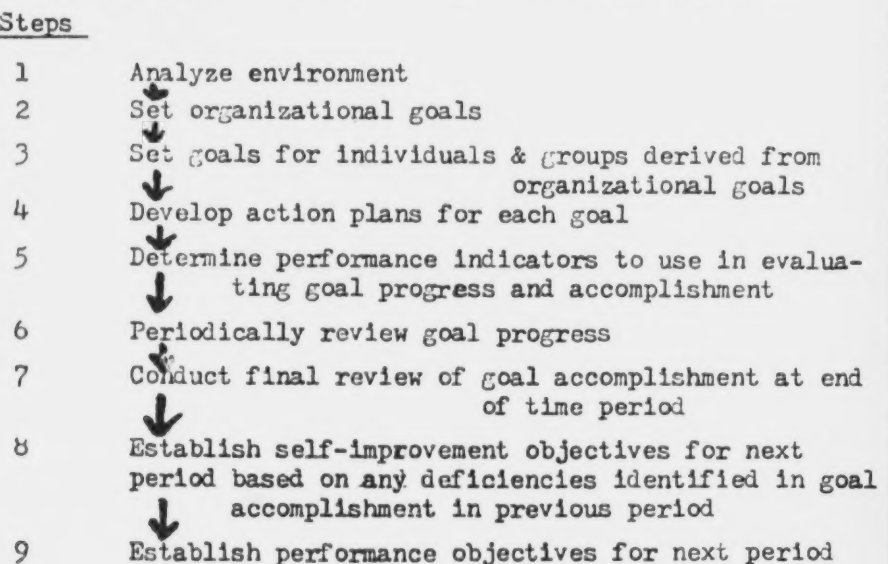
Chapter Three explores the nature of differences in the judgmental or evaluative aspects of appraisal, and concludes that a rating made by a rater in a PAR situation may be due more to cognitive characteristics---implicit personality and attribution theories---that raters develop than to the actual behavior of ratees. The presentation of this view of the information-processing activities of raters leads one to the premise that we may be able to learn more about how and why individual raters give specific ratings by analyzing the raters' judgmental processes, as opposed to limiting our study to the ratee's actual performance or to the appraisal instrument itself.

Chapter Four views organizations as role systems in which expectations for desired behavior accompanying a role help set expectations for performance levels of ratees. Both advantages and disadvantages of using various role occupants (peers, supervisors) as raters are discussed. In addition to influences due to role occupancy, ratings are also explored which might be linked to similarities or differences in personality, sex, age, and values of raters and ratees.

Chapter Five examines the types of rating methods or formats which have been developed in attempts to evaluate ratee performance accurately. This chapter describes and assesses the major varieties of rating methods. Rating forms are not to be equated with PAR systems. The development of the rating method, format or instrument, can come only after the criteria are developed and various aspects of the rating context, such as the identification of raters and intended uses of the results, are considered. Chapter five concludes that the most effective PAR systems are those which incorporate the following characteristics:

- 1) formats should be developed on the basis of a thorough and systematic job analysis
- 2) allowing eventual raters and ratees to participate in the development of the method
- 3) taking into consideration the intended use of results

Chapter Six presents Management by Objectives (MBO) as a process as presented by the following flow chart: Steps



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Chapter Eight, The Analysis of Potential, takes into consideration the evaluation of past performance so that organizations will know how their members will perform on future assignments and in positions they may hold at a later date. Rational promotion decisions hinge on an analysis of potential to perform in the future, as well as involving the record of the past. Chapter eight points out that this analysis is not a simple process, and that reliance on appraisals of past performance as predictions of future performance can be problematic. Identification of knowledge, skills, abilities, interests, personal traits, etc. are required in various positions which must precede the task of assessing individuals fitness for positions.

Chapter Eight briefly reviews the techniques utilized effectively for in-depth assessments of potential by assessment centers. There appears to be important prerequisites for the use of the various methods of assessing potential which includes:

- 1) the analysis of potential should sometimes, but not always be separated from the analysis of performance
- 2) identify the generalized role requirements of target positions
- 3) identify unique position requirements
- 4) use multiple methods to measure possessed characteristics
- 5) use careful preselection if seniority is to be used as a standard
- 6) carefully design the promotion system
- 7) in large organizations it is important to develop management inventory systems
- 8) career planning and counseling programs are needed in large organizations and for minorities
- 9) the organization's potential analysis program must dovetail with the organization's overall organizational strategies

Chapter Nine addresses questions considering design and implementation of PAR and attempts to answer such questions as: how is resistance to change or past experiences overcome? How are negative perceptions changed? or how is trust built? This chapter notes the implementation strategies which take into account the interdependencies between PAR systems and other human-resource management programs, such as training and compensation. These linkages are explored throughout chapter nine while focusing upon those basic considerations involved in implementing, managing, and evaluating PAR systems.

This book serves as either an excellent textbook for the student interested in PAR, or as a valuable reference aid for managers. This work emphasizes the importance of tailoring appraisal and review systems to characteristics of the tasks to be performed, the people employed, and the organizational structure, while at the same time describing and evaluating current research and theory. I would highly recommend that this book be consulted during any study exploring the performance appraisal and review process.

Catalanello, Ralph F., and Hooper, John A. "Managerial Appraisal." Personnel Administrator, pp. 75-79; 81 (Sept., 1981)

Relevance: 1

This study attempts to determine types of appraisal practices used in industry.. Appraisal techniques used are categorized as traditional (checklist, ranking, etc.) and collaborative (MBO, assessment centers, etc.). Results indicated an increase in use of MBO in managerial appraisal, thus a tendency toward collaborative methods. Companies identified performance measurement, performance development, and reward allocation as the major objectives of appraisal systems. Appraisal programs were most widely used as bases for reward allocation and performance development. No relationship was found between appraisal method and use of data. Thus, while reward allocation is third among objectives for appraisal it is the most important use to which data is put. Despite increased use of collaborative methods few respondents indicated active involvement of managers in appraisal.

Gibson, Stephen, and Sands, Larry. "The Effects of Order of Exercise Presentation on Assessment Center Performance: One Standardization Concern." Personnel Psychology, pp. 35-46 (Spring, 1978)
Relevance: 1

Assessment center results are essentially valid. However, there are problems with the Derivation of those results. Critics of assessment center methodology have overlooked the need to standardize administration of assessment tests. Standardization is essential if candidate performance is to be attributed definitely to individual ability rather than to contamination of test results by outside factors. A study was devised to determine effects of order of exercise presentation on candidate performance at one assessment center. The center employed in-basket, leadership problem, problem solving, and two leaderless group discussion exercises. Authors' expectation that differing orders of presentation would affect candidate scores was not proved. This may be due to procedures at this one center. Yet evidence of some effect of presentation order on individual results was suggested: scores on certain exercises were clearly affected by order of presentation. As a consequence the authors suggest that organizational officers should not blindly assume the total validity of assessment center results in all cases.

Dick, Walter, Kelly Watson, and Roger Kaufman. "Deriving Competencies: Consensus Versus Model Building." Educational Researcher. 10:5-10, 13 (October 1981).

Relevance: /

This paper examines two approaches to deriving competencies, or skills, knowledge and attitudes, required of educators and administrators to perform effectively. The authors refer to the two approaches as the consensus approach and the model-building approach. Both approaches have been used in research projects in Florida, which are described as examples.

The Council on Teacher Education in Florida used the consensus approach to generic skills required of effective classroom teachers. The process involved compiling a list of approximately 50 skills from a review of previously generated lists of teacher competencies. A sample of teachers in Florida rated the importance of each of the skills. The 22 most important skills will influence the development of teacher certification tests and teacher-training curricula.

The Vocational Educators' Needs Assessment Project employed a model-building approach to identify competencies required to implement competency-based vocational programs. A model-building approach starts with a description of the total process, focusing on goals and functions for a system, relationships between means and ends, and alternative ways to accomplish goals. Specific competencies and functions required to implement a successful program were derived from a 34-step model.

The two models differ in underlying assumptions, in the scope of skills identified, and in the general nature and interrelationship of the identified skills. With the consensus approach, the assumption is made that the literature will provide descriptions of all important competencies; well-known teacher skills are most prominent; and there are no inherent interrelationships among

the skills. With the model-building approach, however, the assumption is made that the whole range of competencies and skills can be identified; a holistic range of skills are identified; and a more coherent and comprehensive list of skills results.

Drake, Jackson M., and Brian P. Miller. "Determining the Competencies: The Expanding Role of the Principal in the 1980s." NASSP Bulletin. 66(456):18-26 (October 1982).

Relevance: /

The authors contend that the role of the principal is expanding in the 1980s and that educational leaders must be community leaders as well. An effort was made to identify the essential skills or competencies required by principals in the area of community education. The purpose of the research conducted by the Southwest Center for Community Education Development at Arizona State University was to define the administrative roles in community education administration so that preservice university training, inservice training and staff evaluation could be revised.

Teams using a modified Delphi technique participated in several workshops and produced "ideal" and "real" profiles of minimal community education competencies of the principal. The ultimate list contained 25 competency statements divided into eight essential task areas. Each competency statement has associated performance indicators. The eight task areas include (1) philosophy, goal setting, and policy implementation; (2) program development; (3) program management; (4) developing climate; (5) personnel management; (6) financial management; (7) community relations; and (8) program evaluation. An example of a competency statement in the task area, program evaluation, is the ability to interpret data. Performance indicators for that competency statement include (1) writes articles, speaks, etc., and (2) shares with community council and community.

Friend, Kenneth. "Stress and Performance: Effects of Subjective Work Load and Time Urgency." Personnel Psychology 35: 623-33 (Autumn, 1982)
Relevance: 1

Research casts doubt on the validity of assessment centers as tools for developing managerial skills. Friend studied managers involved in a two-week management training course at a technical education center. The situation was one in which objective work load was constant, so subjective or perceived work load could affect performance positively, negatively, or nonlinearly, depending on individual perception of work load. Individual perception of time urgency, a phenomenon also connected with performance, was considered as well. Findings were that high levels of stress are associated with substantially lower levels of performance; that intrinsic involvement in a task has little relation to sense of stress; and that subjective work load and perceived time urgency has substantial negative effect on performance. These effects not only reflect on the validity of assessment center results but have implications for job design. Jobs should be restructured to maintain high motivation while reducing perception of high work load and time urgency.

Fritz, Roger. "Evaluating Subordinates. They Key to Effective Training." *check - not in bibl. 2197580*

Relevance: 1

The Subordinate Management Skills Profile is a practical means of helping managers internalize the applicability of key functions of management; of aiding superiors in improving communications with subordinates; of assisting work groups and organizations in planning for managerial needs; of providing a visible process in which discussion produces mutual understanding; of charting comparisons and progress in management. The skills test covers planning, initiating, delegating, decision making, communicating, relationships, and standards. The Skills Profile assists the manager in preparing for organizational change by enabling the manager to properly evaluate the people who will implement the changes. Such evaluation focuses on work related behavior, shares information, encourages candid responses, identifies change seekers, permeates the organization with a sense of accountability, and maintains continuity of leadership effectiveness.

Gallegos, Patrick M. "Communicating Performance Results." Journal of Systems Management, pp. 25-31 (March, 1983)
Relevance: 1

McGregor has identified three objectives of performance appraisal: providing a basis for systematic judgement, for coaching and counseling, and for telling employees how they are doing. These objectives are seldom realised in practice, because performance is evaluated only once a year, thus holds low priority in supervisory skill development. Supervisors should be appraised as a significant and ongoing part of their jobs, and development of supervisory performance appraisal should receive high priority. The supervisor is the key to appraisal. No perfect system of performance evaluation exists, so organizations must choose evaluation systems to meet their particular goals and management styles. Gallegos proposes a program of supervisory skill development, employee participation, definition of ratings, and effective use of ratings. The program stresses flexibility in employee evaluation and communication between supervisor and subordinate. Sample appraisal forms, detailed definition of performance criteria, and application of those criteria to ranking, management by objectives, and scaled performance techniques are presented.

Gill, Roger W.T. "A Trainability Concept for Management Potential and an Empirical Study of its Relationship with Intelligence for Two Managerial Skills" in Journal of Occupational Psychology, 1982, Vol. 55, pages 139-147.

This article reconsiders the concept of management potential in the context of D.W. Bray's argument that to assess management potential on the basis of performance in a test or exercise is theoretically inadequate. Gill points out that such assessment fails to take account of the effect of learning such behavior or skills, and in lieu of this he reports an empirical investigation of the relationship between alternative measures of management potential and intelligence. This empirical investigation was a study of the relationships between intelligence, post-training performance, and gain in performance due to training for two managerial skills, prioritizing and decision making.

This study involved 33 subjects who took part in two short in-basket exercises which consisted of a prioritizing and decision-making training procedure interposed between them. In addition to the in-basket exercises these subjects also completed Heim's AH5 intelligence test. The result of this study found that gain in performance was found to be curvilinearly associated with intelligence in respect of both skills with an inverted-U shape for decision making. Gill concludes that there may be an optimum range of intelligence for trainability in decision making which is connected to management potential. Furthermore, intelligence may be over-emphasized in assessment of management potential since the implication here is that the ability to learn decision-making skills may be related less to intelligence than to other attributes.

Managerial behavior is of primary importance to managerial effectiveness and organizational results. The important conclusion to be drawn from this study is that intelligence is highly correlated with as a moderator of performance gain or trainability rather than level of achievement. Thereby using intelligence alone as a measure to predict administrative performance may deny some people the opportunity of performing a task or job for which they are amply capable.

Gill concludes that "meta-qualities" as described by J. Burgoyne and R. Stuart may facilitate the development of situation-specific skills and qualities and that measures of intelligence and general aptitude, often defined as the ability to learn, generally have zero correlations with measures of learning progress.

This is a fine study and sheds much light on the relationship between intelligence and decision-making skills. Gill examines in this study such skills as prioritizing, delegating, written communication, organizing, performance under stress, and the dealing with uncertainty and ambiguity of information. He admits that his study is lacking in certain aspects of managerial behavior, such as interpersonal behavior of managers in pairs and groups, and that further studies need to be made with regard to hypotheses concerning differential trainability.

Susan Johnson

Patton, Arch. "How to Appraise Executive Performance" in Harvard Business Review.
pages 63-70.

This article criticizes both the Subjective Approach and the Mathematical Approach to performance appraisal. Patton points out that in the Subjective Approach, i.e. through development programs, that leadership, initiative, dependability, judgment, getting along with people, ambition, etc. do not necessarily measure a man's effectiveness on the job. All too often judgments of performance under such plans reflect what is thought of the man rather than what he does. The great weakness in this approach is that there is a lack of performance criteria which are related to job responsibilities. On the other hand, the Mathematical Approach has swung to the other extreme in setting individual goals for the year in quantitative terms. The weakness with this latter approach is the fact that once the individual targets have been established mathematics takes over the basic responsibility of management to manage.

Patton favors the use of a composite approach to appraisal by blending these two approaches, the Subjective and the Mathematical. His article examines in detail the philosophy underlying the new composite approach, the administrative problems encountered, and the benefits derived from its use. Overall his conclusion is that this composite approach, referred to as the Planned Performance Approach, offers a reduction in subjective bias, avoids mathematical rigidity, boosts performance by setting goals, and builds confidence with fair evaluations.

This article provides a worthwhile contribution to our general understanding of the failures inherent in the usage of non-eclectic models or approaches to performance appraisals.

(For some reason I failed to obtain the date ^{of publication} for this article, so I have enclosed the xerox copy I have for you to keep in case you are interested in reading it).

Greenhill, Muriel, Charles Metz, and Philip Stander. "The Case for a Competence-Based Public Administration Curriculum for Urban Managers." Alternative Higher Education. 7(1):27-43 (Fall 1982).

Relevance: /

The authors describe the design process and characteristics of a curriculum model for the area of public and urban affairs administration. The curriculum is based on literature and research in the areas of education for urban and other administrators and competency-based education.

A brief questionnaire listing competencies, skills, and abilities of urban managers and perceived agency needs was sent to 148 public agency practitioners and other public administration experts. Respondents (a total of 85) ranked each competency or agency need as either very important, important, of some value, or unimportant. The highest ranked needs/competencies were as follows: (1) sensitivity and genuine concern by government officials and employees for the needs of people in urban settings; (2) ability to make decisions and/or sound recommendations; and (3) personal drive sufficient to seek and achieve long-range goals.

The authors conclude that a competence-based curriculum design is particularly appropriate for the education of urban administrators because the competence-based approach focuses on competencies as outcomes, integrates theory and practice in relation to performance, and provides a diversified means for student evaluation. The competence-based curriculum for urban administrators should be concerned with "critical thinking, communications, and other aspects of professional development which are integrated with multidisciplinary, knowledge-based abilities."

The resulting "Theory/Practice Curriculum in Public Administration" consists of eleven Competence-Based Areas (CBA's), or knowledge-based capabilities, and nine Capacities, or personal/professional attributes.

The Competence-Based Area, Implementing Statutory Programs and Policies, for example, consists of three Theory/Practice Units or broad statements of objective, each with associated behavioral or performance objectives. One of the Theory/Practice Units, "ability to analyze and appraise plans, descriptions, and reports concerning the activities and effectiveness of Federally funded programs and projects....," consists of three behavioral components focusing on program evaluation techniques and concepts.

Goleman, Daniel. "The New Competency Tests" *Psychology Today*
35-46, Jan. 1981

Hale, Judith. "Communication Skills in Performance Appraisal." Industrial Management
pp. 17-19 (March-April, 1980)
Relevance: 1

A current personnel measurement system is necessary for managerial, professional, and clerical positions. Such systems are available, but they depend on the manager's communications skills in counseling, coaching, and confronting employees. Effective people management involves both supervisor and subordinate in defining the duties of a job and in determining acceptable performance. Supervisor and subordinate set standards individually, then meet to establish a consensus. The key to this system is the supervisor's willingness to negotiate standards. By including the subordinate in such management activities productivity is significantly increased. Once mutually agreeable standards are established the supervisor has a basis for daily evaluation of the subordinate's performance. When substandard performance is identified the supervisor is in a position to counsel the subordinate to find causes and solutions. When confronting subordinates with poor performance the supervisor must use clear and specific behavioral terms tied to standards already agreed upon.

Ingle, Marcus D., and Rudi Klauss. "Competency-Based Program Evaluation: A Contingency Approach." Evaluation and Program Planning. 3(4):277-87 (1980).

Relevance: /

The authors describe a model of competency-based program evaluation. A program evaluator must be competent in the four broad areas of policy analysis, administration, personal/interpersonal skills, and technical skills. The level of required competence in each of the broad areas is contingent upon the type of evaluation being performed, the phase of the evaluation, and the specific role of the evaluator in the process.

The four broad areas of competencies are generally described. Policy analysis "includes the competencies needed to clarify the macro- to micro-level objectives in ways that are measurable and yet get at the essence of a program's original intent." Administrative competencies include activities like contract negotiation, budget and financial management, and controlling data collection and analysis. Personal/interpersonal competencies include communication skills, team building, and public relations. Statistical analysis and questionnaire design are among the technical competencies required of program evaluators.

Depending upon the context of the evaluation effort, competence in each of the broad areas may be low, medium or high. Low competence requires only understanding relevant principles, concepts and techniques. Medium competence requires successful application, and high competence requires successful transference to non-standard situations.

The level of competence required of the evaluator differs depending on the status of the evaluation, whether the program evaluation is one of implementation monitoring or impact assessment and whether the evaluation is in its design phase or conduct phase. The role of the evaluator influences the required

level of competencies. Level of competence in each area may vary depending on whether the program evaluator fills the role at the executive level, the program manager level or the technician level. A tree diagram indicates the suggested level of competence in each area for each evaluator role in both evaluation phases for each type of evaluation process.

The authors recommend that exploratory research be done to validate the contingency model and to refine competency categories.

Jenkins, Darrell I. "Assistant to the Library Director: The Other Administrator." Illinois Libraries. 63:578-82 (October 1981).

Relevance: /

The purpose of this study was to elucidate the role of the position, assistant to the library director, in large academic libraries. A survey was mailed to the 97 academic libraries of the Association of Research Libraries and returned by 65 (a return rate of 67 percent). Of the 65 responding libraries, 19 reported either the existence of the position or a search for a candidate for the position, assistant to the library director.

The duties and responsibilities fell into four major areas: administration, including decision-making, communication, and building/equipment maintenance; writing, data collection, and analysis; personnel, including training and supervising library staff and recruiting new employees; and fiscal matters, including accounting and fund raising.

Most of the assistants to the library director supervised no support staff (10 of 19 positions) or only one support staff member (4 of 19 positions).

Twelve of the 19 assistants had MLS degrees from ALA-accredited programs, while 4 held a master's degree in either public or business administration. Eleven of the 16 filled assistant positions were held by people with professional library experience, generally in public services. One-third of the respondents anticipated their next position would not be library-related.

Jennerich, Edward J. "Competencies for Department Chairpersons: Myths and Realities." Liberal Education. 67(1):46-70 (Spring 1981).

Relevance: 1 (high)

The author examines departmental chairperson competencies and whether needed competencies differ depending on academic discipline, department, or institution. Implications for the selection and professional development of department chairpersons are discussed. A one-page questionnaire was sent to 300 department chairmen in four-year colleges and universities in the United States. The chairmen were randomly selected from the Yearbook of Higher Education. Each chairman was asked to provide information about his institution and department and to rank fourteen skills/competencies identified in a literature review as essential for the performance of chairperson duties. The competency that the 218 responding chairmen considered the most important was their "Character/Integrity." The competencies ranked next in importance were "Leadership Ability," "Interpersonal Skills," "Ability to Communicate Effectively," "Decision Making Ability," and "Organizational Ability." The three lowest ranked competencies were "Budgetary Skills," "Ability to Recruit New Faculty," and "Fund Raising Ability." Over half of the respondents recommended managerial training although only 19% had participated in training. Of the 41 chairmen who had management training, 71% recommended training. Differences in institution or department characteristics produced no statistically significant differences in competency rankings. The author concludes that there is a universal set of competencies that all chairpersons consider necessary for their jobs and that the hierarchy of competencies developed can provide guidance in selecting and professionally developing new department chairmen. The author apparently assumes that the competencies perceived by departmental chairmen to be important in the performance of their jobs do indeed ensure successful job performance.

Kasten, Katherine Lewellan. "Tenure and Merit Pay as Rewards for Research, Teaching, and Service at a Research University" in Journal of Higher Education, Vol. 55, July/August 1984, pages 500-514.

This study was the result of the desire to answer a specific question about whether teaching and service affect tenure and merit pay decisions at a research university and from a more general concern with rewards and sanctions in educational institutions. The purpose of this research was to examine the values faculty place on research, teaching, and service when conferring tenure and merit pay, decisions that are initially made at the faculty level in the research university studied. In this study the relationship between faculty work and faculty rewards was examined in one division of a large, midwestern research university from which a sample of 135 was drawn from tenured faculty. Twenty-six departments were represented in the sample. Independent variables in the simulation were research performance described at three levels, teaching performance described at three levels, and service described at three levels.

In order to test whether differences in research and teaching would be reflected in different tenure decisions by faculty, nine profiles of a hypothetical candidate for tenure, Candidate Page, were developed using all possible combinations of three research descriptions and three teaching descriptions.

It was found that faculty work in research is tightly coupled to faculty rewards. This research found that teaching and service have significant effects on the allocations of faculty rewards. Both the results of the simulation and the interview data suggest that these effects are moderate in comparison to the effect of research and somewhat idiosyncratic.

Several of Kasten's interesting findings from this study include, that for a tenured faculty member in the Social Studies Division, research is perceived as the most important determinant of merit pay increases, though outside offers and work in administration also lead to high raises. Service has some impact on the increments of most faculty. Teaching has impact only for faculty members who are outstanding or very poor.

With regard to tenure recommendations faculty in the sample were asked to make a tenure recommendation after reading ^{one} of the nine profiles of Candidate Page. Eight orthogonal contrasts were used to test three hypotheses about the independent and dependent variables. This test indicated that research (0.21) affected tenure recommendations more strongly than teaching (0.12). Interviews later confirmed the relationships indicated by the statistical analysis. In department after department, faculty, overall, stated that research is the most important consideration in tenure

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decisions. Those faculty participating in the study suggested that there is a threshold for research below which no degree of teaching or service can provide compensation. Kasten found that the faculty generally felt that teaching is second in importance to research and that outstanding teaching has an impact on tenure when the research record of the candidate is adequate but not brilliant. It was also learned from this study that faculty across the division overwhelmingly agreed that service has almost no impact in tenure decisions, as all faculty are expected to do some service.

This study should not be overlooked as it adds another important link in the understanding of the variables affecting tenure and merit in a research university. This study utilizes statistical measures in testing empirically the relationships between research, teaching, and service performance and awarding of tenure and merit pay increments. I would highly recommend this article for the research project of performance appraisal, evaluation and competency.

Kriekard, John A., and M. Scott Norton. "Using the Competency Approach to Define the Assistant Principalship." NASSP Bulletin. 64(436:1-8 (May 1980).

Relevance: /

The purpose of this study was to define the position of the assistant principal in terms of tasks/competencies required in the role. The authors used a competency-based approach because competencies provide a specific definition for a position, because the identification of competencies could be helpful in training prospective administrators, and because competencies for assistant principals would add to the literature of competencies for other administrative positions.

An NASSP publication, The Report of the Assistant Principalship, listed six major task areas of this position: school management, staff personnel, community relations, student activities, curriculum and instruction, and pupil personnel items. Practicing assistant principals in the state of Arizona were surveyed and asked to list appropriate competencies under each of the six major task areas. Competencies were reviewed by a panel of assistant principals who added performance indicators for the competencies. The refined list of tasks, competencies, and performance indicators was then evaluated by a validation jury composed of professors of administration and practicing school administrators and teachers.

The final product consists of two to five competencies for each of the six task areas and several performance indicators associated with each of the competencies. For example, the competency, ability to practice effective communication skills, appears under the task area of school management. Associated performance indicators include (1) presents instructions clearly for students and personnel and (2) tries to understand another person's point of view when hearing a complaint. The performance objectives listed are not necessarily measurable.

Lansbury, Russell D. (Editor). Performance Appraisal. Melbourne: The MacMillan Company of Australia Pty Ltd., 1981. 258 pages. (BUS HF5549.5 .R3 P45 1981)

The objective of this book is to provide an overview of current theories and practices in the field of performance appraisal. The editor of this book, Russell Lansbury, says that the genesis of this work was a survey of appraisal practices in Australian industry and an analysis of the state of the art in performance appraisal which he conducted for a Royal Commission on Australian Government Administration during the mid 1970's. His research revealed a wide range of practices conducted under the general heading of appraisal but had considerable variation in quality and practice. Therefore, almost all of the articles presented in this book reflect the Australian material. Several of these papers were previously published in American and British academic journals and contain some of the most recent and authoritative views about developments in the appraisal field.

The chapters are divided into four sections: introduction, objectives and methods, the appraisal process, and implications for management. Although there is much overlap in the topics covered by the four sections, this helps to establish the point that a great interdependence exists among various aspects, such as objective setting and process in performance appraisal. At the beginning of each section there is an introduction providing brief summaries of each paper so that the reader can gain a quick overview of the subject matter covered. Lansbury has designed this text in order to satisfy both students and practitioners in the field of human resource management, especially in Australia.

The text contains eighteen articles, a bibliography, and an index. The two papers appearing in section one, Introduction, discuss performance appraisal as an important element in human resource management. The first article, "Appraisal Reappraised," by Russell D. Lansbury examines the development of performance appraisal during the past few decades. Significant problems with the operation of performance appraisal systems discussed and include the reluctance of managers to appraise their staff, the pseudo-science of appraisal systems which are directed not at performance but at personality assessment, and the fallibility of rating scales.

The second article, "The Performance Appraisal Process: A Model and Some Testable Propositions," by Thomas DeCotis & Andre Petit advocates the use of complementary solutions which combine various approaches for performance appraisal. They present a model of the appraisal process which provides some testable propositions. This model proposes that accuracy in performance appraisal is a function of rater motivation, rater ability and the availability of appropriate judgmental norms.

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Section II, Objectives and Methods of Performance Appraisal, contains six articles. The third article, "Employee Growth Through Performance Management," by Michael Beer & Robert A. Ruh describe the development of a particular appraisal scheme at the Corning Glass Works in the U.S., called the Performance Management System (PMS). PMS is the a performance profile whereby each employee's strenghts and weaknesses are shown on a wide range of performance criteria. The authors of this article claim that by indicating through the use of a developmental plan those areas in which improvement is needed that their system can overcome many of the weaknesses inherent in the traditional forms of appraisal which rely entirely on a Management by Objectives approach.

The fourth article, "Management Development Through Performance Appraisal," by Maurice J. Hayes explains how the appraisal system at Nicholas International, originally an Australian-based pharmaceutical company, is based upon carefully developed job descriptions. These descriptions outline the scope of each job, the relationship between the jobholder and other employees, resources re uired by the jobholder, and the key results areas which are jobholder s responsibility. While results of the annual performance review play an important role in determining the merit component of annual salaries, Nicolas also holds regular training courses to assist employees in setting objectives which serve as a key component of the appraisal process.

The fifth article, "Appraisal for Performance Improvement," by Roy V. Gilbert describes a 'Performance Improvement Plan' designed by the Victorian Public Service Board as applied within the Victorian Ministry of Housing. Gilbert argues that performance appraisal should be part of an organization s corporate plan and must be integrated with a well-designed Management Information System. His scheme is based on an analysis of three aspects: of every job: aims, task and performance. Although no numerical ratings of performance were used, a list of factors which inhibited performance was established. Gilbert discusses the possibility of introducing group appraisal at the work place level, as well as the senior management level, where once extended to all levels of the organization, each group would jointly analyze their performance and suggest methods for improvement.

The sixth article, 'The Criteria Method of Objective Performance Appraisal,' by Amira Galin argues that an appraisal system must be valid, reliable, and unbiased in order to be objective. A case study of performance appraisal in an Israeli shipping company is used to demonstrate how the criteria method eliminates biases rooted in human judgment.

The seventh article, "Objectives for Performance Appraisal," by Russell D. Lansbury examines performance appraisal through survey data and case studies. Lansbury claims that there has been a significant increase in the number of organizations using formal systems of appraisal and takes a look at the Australian Public Service in which these formal systems have increased considerably in recent years.

The eighth article, "Systems for Appraisal and Development" by L.L. Cummings and Donald P. Schwab describes three alternative programs of performance appraisal. The first, a Developmental Action Plan (DAP) is designed for a job which permits considerable discretion and autonomy and in which the incumbent is a high performer with the potential for continued growth. The second, a Maintenance Action Program (MAP) is applicable to a job which provides only limited opportunities for autonomy and in which the incumbent is unlikely to have great potential for promotion. The third, a Remedial Action Program (RAP) is intended for use with an employee whose level of performance is consistently below the organization's requirements.

Section III, The Appraisal Process, has five chapters. The ninth article, "Appraisal of What Performance," by Harry Levinson argues that appraisal systems should focus greater attention on the feedback process. He also stresses the importance of establishing support mechanisms to assist employees to change their behavior where and when appropriate. Finally he urges experimentation with alternative systems such as appraisal by employees of their managers and group appraisal.

The tenth article, "Stress and Coping Behaviour in the Appraisal Process," by Mark A. Mallinger & Larry E. Greiner argues that organizations can facilitate active coping behavior regarding the stress occurring from performance appraisals by both supervisors and subordinates by designing appraisal systems which necessitate preparation by both parties beforehand.

The eleventh article, "The Appraisal Interview and the Art of Feedback," by Russell D. Lansbury & Geoffrey J. Prideaux examines various interviewing techniques used in the appraisal context and argues for a problem solving approach which is designed to change the role of the interview from that of judge to helper.

The twelfth article, "Improving the Practice of Performance Appraisal," by Jan Nelson argues that insufficient attention is given to the realities of the work situation in the development of appraisal systems. Nelson lists a number of problems which arise as a consequence and provides an inventory of skills required by management.

The thirteenth article, "An Appraisal Scheme Evaluated," by Jill Knight & Joyce Wood describes the procedures and results of an evaluation of an appraisal scheme in an Australian government department. The main recommendations from this study was the need to assist supervisors to define the needs of their subordinates more precisely and to improve their listening and counselling skills. The authors also found strong support among appraisees for a more participative approach to performance appraisal.

The last Section, number IV, contains five more articles. The fourteenth article, "Performance Appraisal and the Personnel Function," by Roger R. Collins examines the relationship between appraisal and other aspects of the personnel function. Collins describes the appraisal process as a five-stage cycle of performance evaluation, analysis,

diagnosis, action planning, implementation and review. He outlines a number of requirements for a successful appraisal system including: clear objectives, consistency with other personnel policies, compatibility with the organization's culture and an appropriate degree of structure. Finally, Collins stresses the need to view appraisal as an interdependent part of an organization's system of human resources management.

The fifteenth article, "Employee Relations and Appraisal Systems," by Dianne Yerbury examines industrial conflict when appraisal is perceived as threatening employees' job security or career prospects. Yerbury uses three case studies which illustrate three categories of appraisal systems: performance reviews which seek to improve the effectiveness of employees, reward or administrative reviews for the distribution of salaries or bonuses, and potential reviews to predict the level and type of work which employees may be capable of performing in the future.

The sixteenth article, "Performance Appraisal and Self-Management," by Les Cupper examines the development of appraisal within Dynavac Pty Ltd, a small Australian company which practices a form of self-management, and comments on the wider significance of the Dynavac experience for other organizations. Cupper traces the evolution of the current appraisal system in Dynavac and its contribution to self-management within the enterprise.

The seventeenth article, "Appraisal, Bureaucracy and Industrial Democracy," by Bruce C. Hartnett draws upon evidence given in recent inquiries to State and Federal government administration, which shows that organizations need to become less centralized and hierarchical in order to stimulate greater motivation and creativity among their employees. Hartnett argues that only under these conditions will genuine two-way performance appraisal, which enables employees to achieve their maximum potential, be achieved.

The final and eighteenth article, "The Politics and Ritual of Appraisals," by Denis Pym regards performance appraisal as an attempt to reaffirm a declining industrial ethic. Pym cites research evidence which shows that only a tenuous connection exists between the results of appraisal and subsequent promotion, transfer, and training. He argues that self-appraisal, which often tends to be dismissed as being too subjective, has been found to correlate most closely with all other assessments. In conclusion, Pym argues that we need rituals to provide social cohesion and to reduce personal anxiety. Performance appraisals have become part of the rituals of employment, however he believes that people should be allowed to choose their own "rituals".

This text contains a fine collection of essays which present a wide range of views of performance appraisal among academics, managers and union leaders. This collection also provides the reader with a good basic understanding of the current theories and practices in the field of performance appraisal. I recommend this text highly.

Lee, William B. "Making an Objective Self Appraisal." Infosystems, pp. 96-98
(Feb., 1978)
Relevance: 1

A number of methods can help the manager make objective and accurate evaluation of his own personal values and attitudes in order to assess strenghts and weaknesses as a manager. One way is through a sentence completion exercise consisting of questions such as: "I am...;" "Success is...;" Attitudes toward the managerial career can also be evaluated through sentence completion expressed in career terms: "I am happiest at work when I am...;" "The skills I most want to develop are..." Self appraisal can be used to prepare for organizational performance evaluations. Lee presents a self appraisal check list of 31 items, including communications skills, creativity, delegation, creativity, goal directedness, stress tolearance, and tenacity.

Lynch, Beverly T. "The Role of Middle Managers in Libraries." Advances in Librarianship. 6:253-277 (1976).

Relevance: /

In this review article of the role of middle managers in libraries, Lynch discusses the literature concerning the work of managers, factors that influence the role of the middle manager, and leadership in the context of the organization. Management functions are generally assumed to be the same regardless of the organization and staff and usually include the functions of planning, organizing, directing, staffing, and controlling (sometimes integrating and measuring). The role of the library manager may be influenced by the degree to which librarians expect to participate in the management of their units and by the unit's technical work requirements.

Factors that influence the role of the middle manager include the environment, technological characteristics of the work, and the professionalism of the staff. Important environmental influences include the library's communication patterns and feedback system, external agents like suppliers and regulatory agencies, changes in the demand for library materials, and the manner in which the organization is divided into functional units. Technology influences the discretion and power of the workers, the methods of coordination, and the interdependence of units in an organization. The expectations of autonomous professional librarians may influence the role of library middle managers.

The concept of leadership, which implies a two-way relationship, is discussed and differentiated from the concept of management, usually seen as one-way. Trait theory suggested that leaders differed from followers in one or more specific characteristics. The Ohio State University studies in leadership defined leader behavior in terms of consideration and initiating structure behaviors. The Survey Research Center at the University of Michigan identified leadership behavior that facilitates production, morale, and satisfaction.

Differences in the concepts authority, power, and leadership are discussed. It is important that the library manager's professional and bureaucratic authority be perceived by the staff as legitimate. The exercise of power, a coercive form of influence, can create organizational conflict. Two-way communication distinguishes leadership from authority and power.

Lyons, James E. "Competencies Needed by Beginning Secondary School Principals." NASSP Bulletin. 65(446):59-66 (September 1981).

Relevance: /

In this study the author attempted to ascertain the competencies required of beginning secondary school principals, the level of proficiency required for each competency, and the most appropriate time in training to develop the required competencies. Forty-four competency statements developed in an earlier research project were sent to a random sample of experienced principals and superintendents in a southeastern state. Respondents were asked to indicate at what level of proficiency each competency is required: application level, understanding level, familiarity level, or not needed at all. In addition, respondents were asked to state whether the most feasible time for acquiring the competency occurred during preservice coursework, preservice internship, or experience in the position.

Of the 44 competencies included in the survey instrument, 35 were thought to be required at the application level of proficiency; 8 at the understanding level of proficiency; and 1 at the familiarity level of proficiency. None of the competencies was considered not necessary. Experience in the position was considered the most feasible time to acquire most of the competencies (31). Internship was the most feasible time to acquire three of the competencies; and preservice coursework, the most feasible time to acquire ten of the competencies. An apparent contradiction occurred in the results in that respondents felt that beginning secondary school principals should be proficient at the application level in most competencies, at the same time indicating that experience in the position is the most feasible time to acquire proficiency in most competencies.

The author concludes that much work is required to develop preparation programs that allow individuals to meet the challenges of the position and that professors of educational administration and practicing administrators must work together to develop appropriate programs, internships, and learning experiences.

McCleary, Lloyd E., and Kenneth E. McIntyre. "Competency Development and University Methodology: A Model and Proposal." NASSP Bulletin. 56(362): 53-68 (March 1972).

Relevance: |

The authors present a model for competency-based learning to assist in matching the type and level of learning desired with the most appropriate and effective teaching methods. The model is three dimensional showing interactions among (1) a competency--classified as technical, conceptual, or human; (2) level of competence--familiarity, understanding, or application; and (3) content (subject matter) and processes (methods). Seventeen methods of instruction are listed and the suggestion is made that certain methods be emphasized at different times in a trainee's preparation. In the early stages of training, reading, lectures, and discussions are appropriate to bring about familiarity with a broad scope of content; while in the final stages of training, clinical studies, team research, and internships can produce technical skills at the application level of competence.

McClelland, David C. "Testing for Competence Rather Than Intelligence".
American Psychologist 1-14, Jan. 1973

McLagan, Patricia A. "Competency Models." Training and Development Journal,
pp. 22-26 (Dec., 1980)
Relevance: 2 |

Competency models are decision tools that describe the key capabilities necessary to perform a job. As such competency models must be understood by managers and subordinates if the models are to be applied in selection, career planning, assessment. Competency models may be the only means for describing jobs that involve high levels of creativity, judgement, and tolerance of ambiguity, which cannot be adequately described in traditional job descriptions. Validity of a competency model can be determined through answers to questions such as: What leverage will the model provide? What information will be used in developing the model? What will the model contain? How should a competency be defined? Who should be involved? Use of competency models requires sharp observational skills, more systematic approaches to selection, assessment development planning, interviewing, and openmindedness about reasons for low competency ratings.

Minuk, Syd. "Performance Competencies for Adult Education Administrators." Community/Junior College Quarterly. 6(1):1-19 (October/December 1981).

Relevance: |

The purpose of this study was to develop performance criteria for adult education administrators. A matrix was developed to show the interaction of four administrative processes (planning, organizing, directing and leading, and controlling and evaluating) with five administrative functions (communications, curriculum and instruction, personnel, finance, and community relations). Performance criteria were written for the activities represented by each cell in the administrative process/operations matrix.

The 71 members of the Northwest Adult Education Association residing in the state of Washington were asked to rank the degree of appropriateness of each of 57 proposed performance criteria statements. Of the 53 respondents, 33 were administrators, 16 were instructors, and 4 were neither and therefore eliminated from the data analysis. Analysis showed that 14 of the performance statements were considered very appropriate; 41 criteria were rated appropriate; and 2 were rated as undecided.

Of the five performance statements rated most appropriate by adult education administrators, three were in the area of communications (e.g., providing clear written and oral communications to subordinates, coordinates, and superordinates); one was in the area of community relations; and one in the finance area (preparing budgets that reflect the goals & objectives of the department & organization). Of the five performance statements rated most appropriate by adult education instructors, three were in the area of communications, one in community relations and one in curriculum. The mean appropriateness scores for the instructors tend to be lower than those of the administrators. In fact, there were significantly different mean scores between administrators and instructors on five of the performance statements, reflecting their different roles and orientations in their organizations. The author suggests that the different role expectations of the two groups may indicate

"a potential for conflict that may result in the dissatisfaction of administrators and instructors" and offers recommendations to help offset the effects of job dissatisfaction and stress.

National Association of Schools of Public Affairs and Administration.
Guidelines and Standards for Professional Masters Degree Programs in
Public Affairs/Public Administration. Washington, D.C.: National
Association of Schools of Public Affairs and Administration, 1974.

Relevance: 1 (high)

The guidelines include a matrix of professional competencies of graduates of public affairs/public administration programs and of public managers. The matrix of professional competencies consists of five subject matter areas with knowledges, skills, public interest values, and behaviors associated with each subject matter area. One of the five subject matter areas, administrative/management processes, lists, for example, the following professional competencies: (1) knowledge of administrative planning and organizational design, personnel administration, finance and budgeting, and program evaluation and control; (2) skills in negotiating and persuading and work assignment and review; (3) public interest values represented by commitment to standards of individual and organizational integrity and performance; and (4) behavior represented by participation in professional associations, internships and other forms of experiential learning. The matrix provides a good model for categorizing the managerial competencies of research librarians.

Petty, Gregory, H. C. Kazanas and R. M. Eastman. "Affective Work Competencies of Workers, Supervisors and Vocational Educators." The Journal of Vocational Education Research. 6(2):55-71 (Spring 1981).

Relevance: 1 (high)

The authors compared the level of affective work competencies, defined as socio-psychological skills related to work, expressed by workers, supervisors and vocational educators of six different service areas: agriculture, business and office, distributive occupations, health occupations, home economics, and trade and industrial. The questionnaire used in this study was a refined version of the Affective Work Competencies Inventory (AWCI). The inventory groups 173 criterion indicators (descriptive statements of work behavior) into 15 competency clusters, as follows: (1) ambitious, (2) cooperative, (3) adaptable, (4) independent, (5) accurate, (6) pleasant, (7) responsive, (8) careful, (9) considerate, (10) emotionally stable, (11) enduring/patient, (12) neat/orderly, (13) dependable, (14) efficient, (15) conscientious. A five-point scale was associated with each behavior so that respondents could rate the behavior from never to always.

Twenty-five randomly selected employers agreed to participate in the study and returned 1,265 questionnaires from their employees for a response rate of 68 percent. Questionnaires were also returned by 120 vocational teachers for a response rate of 86 percent. Respondents were classified as supervisors if they responded yes to the following question: "Do you supervise other workers?"

There were significant differences between worker, supervisor, and vocational educator ratings of five competencies. Levels of ambition, cooperation, consideration, efficiency, and dedication were higher for supervisors than for workers. Vocational educators scored higher than workers on ambition, cooperation and efficiency. For service areas there were significant differences in the ratings for ten of the 15 competencies. In general,

scores were lower for the agriculture service area and higher for business and home economics.

The authors suggest their results can provide a base for developing vocational education curriculum and helping students select careers in particular service areas. However, the questionnaires were self-descriptions, and no attempt was made to relate the competencies to successful job performance.

Pfister, Fred C. "Competencies Essential for School Media Specialists." Journal of Education for Librarianship. 23:29-42 (Summer 1982).

Relevance: /

The purpose of this study was to determine the competencies required of school media specialists in the state of Florida. The Florida Department of Education's Media Specialist Task Force prepared a list of 62 competencies for school library media specialists. The proposed competencies were submitted to a stratified random sample of Florida educators who rated each competency on a scale from 1, essential, to 5, not qualified to respond. In all, 355 usable questionnaires were returned, a response rate of 68 percent.

Of the 62 proposed competencies, 21 were rated at least "essential" by 51 percent of the respondents. The manager-oriented competencies rated as essential required the library media specialist to demonstrate ability to develop goals and functions of the library media program which support the educational objectives of the total school program, to establish policies and procedures that achieve goals of the library media program, to keep appropriate records of receipts and expenditures for library media program funds, to prepare and justify a library media program budget request, and to develop and maintain effective working relationships among library media staff; as well as to demonstrate awareness of school district policies that affect the administration of library media programs and that the manner in which the instructional program of the school is organized affects the way library media services are made available. The media educators sub-group of the sample rated 58 of the 62 competencies essential.

Manager-oriented competencies not considered essential by Florida educators surveyed included two each related to planning, staffing, and communicating. None of the four proposed competencies related to research were considered essential.

Based on the results of his study, the author recommends that library media specialist programs and certification standards reflect the essential competencies; that additional research be conducted in other parts of the country; that media educators review their performance as researcher models.

Redfern, George B., and Paul W. Hersey. "Evaluation of Principals: Leadership Excellence Achievement Plan." The Practitioner. 7(4):1-12 (June 1981).

Relevance: |

The authors describe the Leadership Excellence Achievement Plan (LEAP), a system for the performance evaluation of principals. The components of LEAP include the development of a position description containing technical competencies, administrative skills, and performance goals; the identification of current performance level; a review of progress; and assessment of results.

In the example given from the Green Bay (Wisconsin) Public Schools, technical competencies from the position description include such responsibilities as directing all school business affairs, directing pupil accounting procedures, and preparing the school budget request. The administrative skills are arranged in a hierarchical structure and contain the twelve broad areas: problem analysis, judgment, organizational ability, decisiveness, leadership, sensitivity, range of interests, personal motivation, educational values, stress tolerance, oral communication skill, and written communication skill. Performance goals state exactly what behaviors will be exhibited, what activities will accomplish the performance goal, and how and when performance will be evaluated.

Current performance level is assessed by the principal and the principal's immediate supervisor. The assessment results in a work plan, either a development plan stressing growth or an improvement plan to correct deficiencies. Progress reviews generally occur twice during the school year, with a final evaluation in June. The final evaluation may consist of an objective approach using scaled categories, a narrative assessment, and an appraisal conference.

Rice, Berkely. "Measuring Executive Muscle." Psychology Today, pp. 95-110 (Dec. 1978)

Relevance: 1

Assessment has become the standard tool for evaluation of managers' potential for success. Proponents of assessment say it is an accurate predictor of performance in a new job. Critics see it as a pseudoscience whose predictive value is unproven. Most large companies spend thousands of dollars on assessment yearly. Rice describes procedures at American Airline's Human Resources Center, which provides separate testing programs for beginning, middle, and "key manager" level managers. The Center uses in-basket exercises, background interviews, group and individual decision exercises to identify areas of strength and weakness. Studies of validity of assessment are few, lack replication, and are usually affected by methodological problems, particularly criterion contamination. Most validity studies use salary or advancement as the critical measures of managerial ability, correlating those measures with assessment ratings. Yet both measures may depend on capacity to adapt to corporate politics as much as on performance. Attempts of validity studies to measure effects of behavior traits in evaluation of managerial potential are questionable: true effects of these traits on managerial success are unclear.

Robinson, J.C. and Robinson, L.C. "Consultants' Showcase: Modeling Techniques Applied to Performance Feedback and Appraisal." Training and Development Journal 48-53, Jan. 1978.

Smith, Abbot. "How to Select Human Resource People." Training and Development Journal, pp. 46-48 (July, 1978)

Relevance: 1

Hiring for the human resource function is difficult because the HR professional must possess a large number of intangible traits. Selection of HR personnel should be based on three principles: process, personality, professionalism. There must be a process for finding a pool of individuals from which to choose. The first source for HR candidates is publications of professional associations, most of which carry advertisements for positions in their areas of specialization. Personal contacts of employers within the HR profession should be used or made available to recruiters. 80-90% of personnel selection rests on the personality factor: the employer hires the person he feels most comfortable working with. Use of this approach is encouraged as long as no racial or sexual discrimination is involved. The average recruiter is not qualified to judge degree of professionalism in many human resources functions. Recruiters should consult department heads, who should ^{have} authority to recruit their own staff.

Stallard, John J., Margaret Bahniuk and Helen Petree. "Determination, Verification and Validation of Competencies of Administrative Office Managers." Delta Pi Epsilon Journal. 21(2):1-12 (April 1979).

Relevance: 1 (high)

The purpose of this study was to determine, verify, and validate the competencies needed by an administrative office manager in order to provide educators with data for upgrading the teaching of administrative office management courses. A list of 184 competencies, falling into 20 broad categories, was compiled from three widely used textbooks on administrative office management. The list was refined by a jury of experts, members of two chapters of the Administrative Management Society. A Likert scale ranking each competency from 1, unimportant, to 5, extremely important, was composed and mailed to 2,478 firms selected from Standard & Poor's Corporate Directory. The cover letter requested the personnel director to refer the questionnaire to the person responsible for the area of office management. Only 321 usable questionnaires were returned.

All of the 184 competencies were rated by the respondents as at least of some importance; none of the competencies received a rating of unimportant. The broad areas that respondents rated as being most important were budgeting, employee incentives and relations, standards and job evaluation, human relations and motivation, and recruitment and dismissal. The broad areas rated as least important were office equipment, data processing and computers, supplies, training and development, and reproduction services. Ratings of the broad areas of competencies by administrative office managers of nine Standard Industrial Classifications were not significantly different. Although only 3 of the 20 broad areas of competencies were considered people-oriented, compared with 17 systems- or procedures-oriented, 2 of the people-oriented broad areas of competencies, Human Relations and Motivation and Recruitment and Dismissal, were ranked fourth and fifth.

The authors conclude that the managers surveyed concurred in what office management textbook authors perceived to be the competencies needed by contemporary administrative office managers. Further, office managers agreed in the ranking of needed competencies.

The authors recommended that office management textbooks, curriculum modules, and teachers of office management should emphasize the competencies considered most important by managers. The authors also recommend that a study be conducted to determine the agreement between the observed activities of administrative office managers and the textbook portrayal of that position. Perhaps even more helpful would be a description of the competencies of office managers who are particularly successful in the performance of their duties.

Staples, E. Susan. "60 Competency Ratings for School Media Specialists." Instructional Innovator. 26(8):19-23 (November 1981).

Relevance: 1 (high)

School media specialists in Texas were surveyed to determine what skills they believed to be most important for effective job performance and how they rated their ability to perform those skills. The questionnaire was a list of 60 competencies used by the Texas Education Agency in conjunction with the Professional Certificate and Endorsement Program of the Learning Resources Specialist. The questionnaire was sent to a random sample of learning resources specialists in Texas. Questionnaires were returned by 224 (72 percent) practitioners who had rated each competency for value in job performance and their level of expertise.

The mean scores for value exceeded the mean scores for expertise on all 60 competencies. All 60 competencies were rated as being of at least "some importance," and respondents described their skills on all competencies as at least "some capability."

The competencies were divided into four functional areas: Function I, Organization and Management; Function II, Acquisition and Dissemination; Function III, Consultation, Instruction, Utilization; and Function IV, Learning Resources Development. The specialists placed greater value on more of the competencies in Functions I and II and ranked themselves as having a lower level of expertise in more of the Function III and IV competencies.

First-priority needs for continuing education were derived from high mean value and low mean expertise scores. Thirteen competencies across all four Functions were identified as first-priority needs.

Stewart, Mary. "It's Not What You Do...It's the Way You Do It." Personnel Management, pp. 40-42 (April, 1983)
Relevance: 1

That managers do similar jobs differently is accepted. What is less accepted is that people do different kinds of work - they emphasize different aspects of a job. Yet job descriptions are not phrased to allow managers adequate flexibility in choosing what they will do. Components of jobs should be considered in terms of what work can or must be done within the manager's unit and what can or must be done outside it. Seeing the job as consisting of choices provides a new way of matching individuals to jobs. Selectors should evaluate potential employees for the choices among tasks that they may make when on the job. The uncomfortable task of evaluating performance can be eased by providing a framework for discussing the job and how the subordinate does it. Stewart's framework permits discussion of how a job is performed in terms of demands, constraints, and choices as experienced in the job by subordinates and as viewed by superiors. Choices in jobs are useful to career development. They provide a new perspective on differences between jobs. Proper career development provides time in different kinds of jobs.

Walters, Donald L. "The Measurement of Administrative Competencies." Phi Delta Kappan. 61(6):423-25 (February 1980).

Relevance: /

The author describes four systems for assessing administrative competencies, focusing on instrument design and validity. The four systems are the Educational Leadership Appraisal (ELA), Georgia Principal Assessment System (GPAS), Individual Learning Materials (ILM), and Special Education Supervisor Training (SEST).

The Educational Leadership Appraisal consists of 12 situational exercises designed to elicit behavior along several dimensions of leadership: management and organization, communication, problem solving, task orientation, and interpersonal qualities. The emphasis is on self-appraisal. The administrator is provided with a rating on each dimension, an inventory of behaviors exhibited, and an overview of performance. The set of leadership dimensions were identified by a panel of educators.

The Georgia Principal Assessment System consists of four instruments designed to assess the performance of principals. The principal rates his own performance on 100 job-related tasks representing five areas of administrative responsibility. In addition, Teacher, Superintendent, and External Observer Forms attempt to corroborate the principal's responses. The GPAS underwent extensive field testing in Georgia schools, through which 80 competencies were derived and 338 performance indicators identified.

The Individual Learning Materials is designed for individualized, competency-based education in the areas of improvement of teaching, instructional supervision, planning and administration of educational programs, and the principalship. The individual selects modules to study which were constructed and validated for a specific competency or cluster of competencies.

The Special Education Supervisor Training battery consists of five instruments designed to assess an educational leader's performance. Two of the instruments assess the individual's performance on 24 critical competencies and 81 major competencies. On the Competency-Keyed Experience Inventory, the individual reports his level of experience on 158 activities related to the critical competencies. The Knowledge Assessment Test measures knowledge related to the critical competencies, and the Critical Competency Interest Scale allows the individual to rank the importance of the 24 critical competencies.

The author concludes that all four systems have been used primarily for personal development rather than performance appraisal. No reliability measures were reported, and validity of the instruments was based primarily on content validity judgments.

Weingand, Darlene E. "Competences for Public Librarians: A Beginning." Public Libraries. 20:104-6 (Winter 1981).

Relevance: /

The author proposes a list of competences for professional/^{public} librarians, developed to assist them in planning for individualized continuing education. The competences are arranged by three functions: administrator, clinical practitioner, and professional. With this set of competences, library personnel can analyze their personal strengths and need for improvement.

The administrator function is divided into two major areas of competence, planning and organizational development and maintenance. Eight competences are listed under the planning process, including for example, the ability to describe and apply basic concepts of planning and to develop and use instruments and procedures for assessing the needs of the community. Included among the 19 competences under organizational development and maintenance are the ability to describe and apply theories and research findings concerning management and organizational behavior and the ability to continually monitor and evaluate organizational effectiveness and self-renewal.

The clinical practitioner function lists 13 competences in the area of public services and 8 in the area of technical services. The professional function is divided into four areas of competence, each containing descriptions of 6 to 9 abilities. The four areas of competence include the conceptual and theoretical framework of library/information science, the relationship with clientele groups, knowledge of and attitude toward professional association activity, and professional continuing education.

The increasing rate of change in our society makes occupational obsolescence an increasing concern and continuing education essential. The self-analysis of capabilities and deficiencies is important in directing continuing education.

White, Michael C., Crino, Michael D., and De Sanctis, Gerry L. "A Critical Review of Female Performance, Performance Training, and Organizational Initiatives Designed to Aid Women in the Work-Role Environment." Personnel Psychology 34: 227-48 (Summer, 1981)
Relevance: 1

The authors evaluate the literature and actions of organizations regarding sex discrimination in the hiring, training, and promoting of women in managerial positions. Research into sex discrimination concentrates excessively on stereotyping and has neglected development of broad psychological theories. Yet some attitudinal differences attributed to gender may reflect assumed role differences. Research into sex discrimination is flawed because it seldom measures actual job performance of women as compared to that of men . Thus one cannot conclude that women are effective managers since actual performance is seldom objectively measured. Valid measures of attitudes must be developed; at present none exist. Ranges of differences among managers of the same sex must be determined. Validity of managerial programs for women is not empirically determined. These programs may encourage women to adapt to a discriminatory environment rather than change that environment.

Bibliography

Section II

Dunham, Randall B. "Relationships of Perceived Job Design Characteristics to Job Ability Requirements and Job Value." Journal of Applied Psychology, pp. 760-63 Dec., 1977)
Relevance: 2

Object of research was to determine whether relationships exist between perceived job characteristics and job ability and compensation requirements. Such relationships would suggest implications for job planning that should not be separated from job design decisions. Job enrichment has concentrated on developing improved worker responses that should result from design/redesign of jobs that cause workers to perceive a job as highly complex. The study shows that other factors are equally important in job enrichment. Job ability requirements and compensation values vary with level of perceived job design characteristics. A system must be developed to predict compensation and ability requirements for a job before it is implemented, based on the study's finding that jobs perceived as more complex had both higher ability and compensation requirements. Thus, Dunham's study has implications for competency development and evaluation in that it demonstrates that worker reaction to a job is affected by the way elements composing it are structured by job designers.

*** Susan Johnson

Eichel, Evelyn and Henry E. Bender. Performance Appraisal: A Study of Current Techniques. New York: American Management Associations (AMA Research and Information Service), 1984. 64 pages. (BUS HF55(.R3 E38 1984)

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This study has utilized a survey of management personnel to add new data on performance appraisal practices research, as well as on thinking among practitioners. This report goes beyond statistical summaries by adding and comparing findings from an extensive literature review and from interviews with individuals with responsibilities for performance appraisals.

The purpose of this research report was not to tell the reader about a new and exciting way to conduct a performance appraisal, without any problems, but to provide:

- 1) a current picture of performance appraisal in the business world
- 2) examples of items used in the performance appraisal process
- 3) a review of the performance appraisal process
- 4) a user's checklist for evaluating existing and proposed performance appraisal systems

The research methods utilized by this study were based on literature review, a survey by mail, and personal interviews. The literature review encompassed two decades of publications, with particular attention to those of the most recent ten years. (The reference section of this publication lists 81 citations). The questionnaire was designed to gain responses on those aspects of appraisal that appeared to be most critical as judged from the literature review. 53% of the respondents represented companies with gross revenues under \$100 million. The respondents also varied according to the number of employees. 60% of the sample had under 100 employees in their organizations, an additional 23.7% had between 100 and 4,999 employees, and the remaining 16.3% had 5000 or more employees.

The questionnaire was mailed to a systematic sample of the members of the AMA Human Resources (N=832), Finance (N=665), Marketing (N=537) and Information Systems (N=366) Divisions. Of the 2400 questionnaires mailed, 588 were returned, representing a 24.5% return rate.

Interviews were conducted with 12 respondents and performance appraisal specialists by telephone or in person. The interviews were planned to secure a greater depth of understanding of individual answers and patterns of replies observed in the survey responses.

The authors of this study have defined performance appraisal as the observation and assessment of employee performance against predetermined job-related standards, for the purpose(s) delineated by the organization. Following A. Meidan's example, the objectives of managerial appraisal have been defined as

- 1) to evaluate performers or improve performance in order to make promotion/dismissal/transfer decisions, review salaries, and identify training needs
- 2) to allocate financial, production, technical, and marketing resources

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- 3) to aid in business planning
- 4) to make possible changes in organization and control systems

However, the authors of this study point out the shifts in the purpose of the performance appraisal across time, as differences in trends affected their usage. For example, while in the 1960's the purpose of performance appraisal broadened to include development of the individual, organizational planning, and improving the quality of work life, ^{whereas} the emphasis in the 1970's took another shift caused by legal pressures, requiring organizations to document and justify, for Equal Opportunity purposes, all administrative actions (salary, promotion, and retention or discharge).

Eichel and Bender note that performance appraisal currently exists in organizations for one or more reasons identified in the surveys as: administrative, developmental, and/or legal purposes. The results of their study indicated that in their respondents' companies, 91% conduct management level performance appraisals. The appraisals were used for compensation (85.6%), counseling (65.1%), training and development (64.3%), promotion (45.3%), manpower planning (43.1%), retention/discharge (30.3%), and validation of a selection technique (17.2%).

Performance appraisal was found to be a process with five elements. These include goal setting, job analysis, performance standards, performance appraisal and finally the feedback interview. The majority of this study's respondents stated that:

- 1) their organizations had clear and concise statements of purpose
- 2) goal setting was part of the performance appraisal process
- 3) when developing goals for a job, goals of other jobs inside & outside the department are considered
- 4) job analyses are task based
- 5) job descriptions delineate responsibilities, general objectives, tasks, knowledge, skill and ability
- 6) standards or specific goals of performance are developed for each major segment of individual jobs and negotiated between superior & subordinate
- 7) performance appraisal techniques used most frequently & perceived as most important included goals or standard setting, written essay statements & descriptions of critical incidents
- 8) appraisals have at least a moderately positive effect on leadership, productivity and efficiency.

Survey and interview findings from this study indicated that:

- 1) greater emphasis should be placed on job analyses, to ensure the adequacy and legality of the performance appraisal process. All too often job analyses & resulting job descriptions are dated or non-existent
- 2) performance appraisal techniques should stress quantification & replicability
- 3) performance appraisals used for compensation and development purposes are best discussed with the appraised individual at separate times

- 4) consideration should be given to the difficulty of appraising staff versus line jobs, and the evaluation of members of the extended work force
- 5) performance appraisals should be conducted annually at a minimum, and more frequently when possible
- 6) it would be desirable to expand the appraisal process into an integrated human resource system

This study's survey also explored the appraisal techniques used by the private sector respondents whose companies have a performance evaluation program for managers. This part of the report concentrates on the techniques available for the performance appraisal process and found to be in use in the field.

The technique selected can fortify or undermine the effectiveness of the appraisal activity. Eichel and Bender notes that it can raise or lower the probability of obtaining objective information or quantitative data. This in turn will influence the likelihood that an appraisal system will withstand the scrutiny of an Equal Employment Opportunity inquiry.

The tools found to be used most frequently in this survey were goal setting, written essay statements, description of critical incidents, and graphic rating scales. Those used least were paired comparisons, forced choices and forced distributions.

The authors of this report divide these techniques into three categories: comparative, absolute, and outcome oriented. Comparative methods require the appraiser to evaluate the employees in a work unit relative to each other; absolute methods require the appraiser to evaluate the employee without making direct reference to the other employees; and outcome oriented methods involve evaluating employees on the results they have achieved.

In conclusion this study demonstrates how performance appraisal is a managerial responsibility and process which is widely prevalent in the work environment with impact on compensation, training and development, career paths, and the legal status of the human resources function. The most frequent evaluation ^{obtained} from this survey is that performance appraisal has a moderate or greater effect, particularly on leadership, productivity, and efficiency. Its effects on morale, organizational stability, profits, and company growth are also rated as positive but less powerful.

I would recommend this study on performance appraisal as it not only describes and discusses performance techniques but has done so in light of the survey data obtained from the field, which can ultimately increase our understanding on how appraisals function.

Fletcher, Clive. "What's New In Performance Appraisal" in Personnel Management,
February 1984, pages 20-22.

Susan Johnson

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In this article Fletcher discusses why objectivity in performance appraisal seems to be as far away as ever, despite the adoption of "scientific approaches". His overall thesis is that distortions creep into our judgments concerning performance, whether it be an objective-oriented appraisal or a more traditional rating method. Our perceptions of what is real and valid in the world rest on a consensus of shared beliefs; appraisals of performance are no exception. Fletcher points out that the research relevant to performance appraisal over the last few years has shown very clearly that performance assessment is more than just the sum of its parts (assessor, assessee and the method used). Appraisals are influenced by numerous social and contextual factors as well.

Studies show that appraisers have the tendency to take into account external, circumstantial factors in explaining their own behavior while they usually interpret other people's performance in terms of their qualities and abilities. This is all modified according to whether one is talking about good or bad performance, whether one is assessing people one has a positive attitude towards, the consequences of the performance, and numerous other factors.

Although Fletcher says that something can be done in training appraisers to increase their awareness of these distortions, he still feels that it is unlikely that they be eradicated completely. Therefore he suggests a more viable solution, which is to offset the appraiser's biases by increasing the element of self-appraisal. Fletcher states that there is little doubt that most people are able to assess their past performance and even to predict their future performance accurately. He discusses one type of self-appraisal that holds great promise. This is when the individual is asked to assess different aspects of his or her job performance relative to one another rather than against the performance of peers. He further argues that the evidence shows that subordinates' judgments of this kind are more discriminating (less halo effect) than are those of their supervisors, and that appraisals are based on such self-assessments can be extremely effective.

The value of this article to one interested in learning more about performance appraisal, evaluation, and competency is that ^{it is acknowledged that} all appraisals are influenced by numerous social and contextual factors. The goal of objectivity in appraisal seems further away than ever as we increasingly appreciate the range and the magnitude of those influences, both internal and external, which act upon and affect our judgments.

Susan Johnson

Holladay, Janice. "Small Libraries: Keeping the Professional Position Professional" in Special Libraries, January 1981. Pages 63-66.

This article emphasizes how bringing professionalism and current information technology into small libraries can be a rewarding experience for both librarian and users. Suggestions are offered for making the organization more aware of the library's value, as well as its needs.

Holladay points out that the primary responsibility of the librarian in any organization is to inform appropriate administrators and policy-making personnel of the facts concerning the size and scope of dollar investments in the information market place. Other professional responsibilities include pointing out which functions could best be performed by the library quickly and effectively; (Administrators are always interested in finding efficient, cost-effective ways to use its available staff); a primary obligation is to provide samples of good information service; (In order to provide effective information service one must know the interests and concerns of the users and the prospective users); and finally the professional librarian must use every available means to communicate with his or her users by attending meetings, sending notes, and issuing newsletters all of which involves becoming active in local and national professional groups.

The value of this article is that it can be utilized in performance appraisal, evaluation, and competency research of professional librarian positions as it attempts to delineate those skills and competencies essential for the attainment of professionalization.

Farmer, Charles H. Administrator Evaluation: Concepts, Methods, Cases in Higher Education. Richmond, Virginia: Higher Education Leadership and Management Society, Inc., 1979.

Relevance: 2

This book is a summary of the current state of academic administrator assessment. It is divided into four major sections dealing with issues and perspectives, four approaches to administrator evaluation, current practices of administrator evaluation at four universities, and planning a program of administrator evaluation. Current issues discussed include why and how an administrator should be evaluated and by whom. The methods of administrator evaluation include descriptions of rating scales, growth contracting, an ad hoc committee model (similar to the familiar search committee), and MBO. A case study is presented outlining the use of each of these approaches to administrator evaluation.

Several chapters are particularly helpful in developing academic administrative competencies because they suggest criteria and associated skills upon which administrators should be evaluated. In the chapter on how administrators can be evaluated, for example, there are several lists of administrator effectiveness criteria and skills, including peer skills, leadership skills, conflict resolution skills, information processing skills, skills in unstructured decision-making, resource allocation skills, entrepreneurial skills, and skills of introspection. The chapter on rating scales also contains a brief list of performance areas and characteristics, along with appropriate activities, that often appear on administrator performance rating scales. Several examples of rating scales further define administrative competencies.

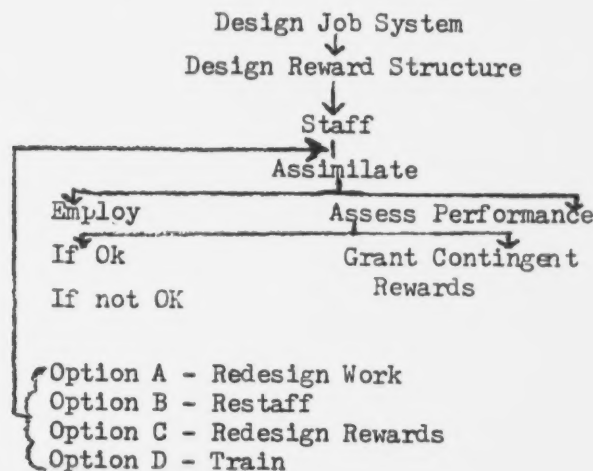
Grant, Philip C. "How to Manage Employee Job Performance" in Personnel Administrator, August 1981, pages 59-64.

The purpose of this article is to describe a simple, comprehensive, and universally applicable flow process model for managing employee-job performance and to point out some important features of this model in contrast to other models.

Grant applies a mathematical model to employee-job-performance which is described as a function of the design of the job system and of employee execution.

- 1) $EJP = f(DJS, EE)$ Where EJP is employee-job performance, DJS is design of the job system, EE is employee execution.
- 2) $EE = g(A/T, M/S)$ Where EE is employee execution, A/T is employee abilities and traits, M/S is employee motivation and satisfaction.

The flow chart depicting this system is as follows:



Grant demonstrates through his model that managing employee-job performance involves a three-phased planning process and an assimilation function and a performance assessment function, the latter of which provides data for issuing contingent rewards and determines whether corrective action must be taken to improve performance.

Grant criticizes those models dealing with how to manage employee-job-performance, i.e. MBO traditional staffing models, performance control models, which he argues are remiss, since each neglects vital aspects of how to plan and control employee- job performance.

Grant, Philip C. Continued

Grant's core conceptualization on which the model in this article is based is that of employment as an exchange process. Both parties--the individual and the organization--in this exchange have needs and provide each other with need fulfilling contributions. As Grant points out, it is the details of this exchange which must be effectively managed for high employee-job performance. And, the model he presents in this article has the ability to fulfill this need, where as few other models have had the ability to demonstrate sensitivity to this process.

Several important features of this model with regard to obtaining a better understanding and comprehension of the performance appraisal, evaluation and competency process involves starting with design of the job or work system, which Grant's model achieves. Numerous facets of the job system must be effectively planned if high performance is to be achieved. Following job design, the reward structure should be formulated. This formulation comes after the design of the work because the nature of the rewards offered the employee will depend, in part on the nature of the work performed and on the level of performance along the prescribed performance criteria. Once the work system and the reward structure have been developed the management is ready to staff the job, followed with assimilation (the process of knitting together employee and organization, through communication and mutual adjustment), ^{all this followed} then by employ and assess performance, and finally with the matching of motives to reward.

Grant has described a highly integrated, yet relatively simplistic process which incorporates how to manage all the major variables affecting employee job performance. These features distinguish this model from the general personnel and organizational behavior paradigms, which through covering the essential variables have traditionally been weakened by excessive subject matter segmentation and disjointedness. This article is worth perusing as it focuses upon performance as a human resource management organizational behavior.

Habbe, Stephen. "Appraisal of Job Performance: Merit Rating Programs for Employees and Managers" in Studies in Personnel Policy, No. 121. New York: National Industrial Conference Board, Inc., 1951. 56 pages.

This conference report is divided in seven sections. Section one is the 'Introduction' which deals with growth of 'programs slow', some pros & cons, and why companies have rating programs. Section two is entitled 'Planning the Rating Program' which includes frequency of the ratings and should the rating be discussed. Section three is 'Getting the Program Started' which covers six topics: different approaches, graphic scale is popular, a few suggestions, multiple ratings, ratings by others, and use of standard forms. Section four is called 'Importance of training' and deals with interview training, use of recordings and movies, and suggestions for counseling after merit rating. Section five is 'Reliability and validity', while section six is 'Ratings and the Union'. Finally, section seven is entitled 'The Nine Case Studies'.

The purpose of this conference report on performance appraisal is to assist management in answering the following types of questions: which employees are ready for promotion?; which employees have qualified for wage or salary increases?; which employees should be retained in the event of a cutback in business?; and which employees need what kinds of further training to increase job efficiency?.

Habbe also notes that this conference report is the result of the fact that more and more attention had been given to the training of raters. This training has had a dual purpose which is to produce more accurate ratings and to help the first-line supervisor do a more skilled job of interviewing his workers after the ratings have been completed. Also more attention has been given to the new employee and as a result of this attention given to ratings both during and at the end of the probationary period a reduction has occurred in the turnover rate as much ease has been generated to the critical adjustment period.

A major portion of this report describes the experiences of nine companies with rating programs. These case studies show in detail how and why the programs were begun, how they have been operated, and their values and their limitations. Each report is valuable as a separate contribution, treating such basic matters as objectives, groups rated, forms used, training the raters, and union relations. Habbe says that the nine case studies reflect a fair cross section of what was then current thinking and practice in performance appraisal.

Briefly, the nine companies included are:

- 1) Aldens, Inc. Emphasis is on appraisal of executives. Five forms developed and others contemplated
- 2) Atlantic Gelatin Division (General Foods Corporation) How a division has adapted a corporation's rating plan
- 3) Atlantic Refining Company Employees all rated on one trait at a time to reduce halo effect
- 4) Berger Brothers Comprehensive program in company with 800 employees.

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| 5) Inland Manufacturing Division
(General Motors Corporation) | Merit rating in a union situation |
| 6) Mission Appliance Corporation | Rating plan developed by supervisors.
Booklet about plan given each employee |
| 7) Owens-Illinois Glass Company | Evolution of present program traced.
Simplicity stressed |
| 8) Standard Oil Company of
California | Six principles enunciated and multiple
appraisals made |
| 9) Company A | Specialists assist raters |

This report is worthwhile investigating as it may shed light upon those objectives and trends concerning performance appraisals which have been carried over from the decade of the 1950's to the current decade of the 80's. Especially of interest are those rating forms included for each of the nine companies. The skills and competencies listed on these rating forms may prove to have much in common with those competencies required of librarians and information science professionals. Therefore, I would recommend this dated report as it may prove to be of great value in increasing our understanding of rating scales and developments over the past three decades.

Grant, Philip C. Continued

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Heller, George L. "Demystifying Job Evaluation " in Supervisory Management, January 1982, pages 21-23.

Heller argues that the confusing and unclear subject of job evaluation is perpetuated further by the usage of mysterious sounding jargon, i.e. factor comparisons, point values, and benchmark jobs. Heller suggests the demystification of the job evaluation process. He argues that job evaluation should not simply be reduced to a complex and mathematical science, but rather that job evaluation should be a system for making comparisons of one job against another. Once those comparisons are made, a ranking of jobs then would be made based on their relative value to the organization.

Heller outlines the techniques for developing a set of standards for looking at job evaluation for which he has devised a rating scale. These techniques are:

develop a set of standards taking into consideration:

- a) knowledge (education & experience)
- b) impact (measure of the effect of decisions made)
- c) scope (the range of a person's authority and extent of responsibilities)

Heller then illustrates how a ranking scale can be applied utilizing these standards. He points out that the tendency to evaluate the person, rather than the job, is probably the most common error committed in performing job evaluation. He stresses that the utmost care be taken by those doing the evaluating for it is the job that is being evaluated and not the current incumbent of the job. During this process he recommends that the best method for carrying out the job evaluation process is for one to imagine that the position is vacant and therefore focus upon what is needed of a new employee in this position.

This article importantly acknowledges that the process of job evaluation is not an exact science. Heller notes that the differences between groups of jobs will not always be clear-cut either, as one attempts to use his technique for job evaluation. However, taking into consideration Heller's technique should allow for greater ease in the making of interpretive decisions.

Hickerson, Karl A., and Litchfield III, Harry E. "Professionalism vs Salesmanship: Focusing on Evaluation Procedure at John Deere." Training and Development Journal, pp. 53-59 (April, 1978) Relevance:2

Reconciling "selling" of training with professionalism is a systems problem caused by poor feedback from participants to management and training staff. Difficulty in selling training may be solved by an evaluation system that structures communication of training information in a useful form. The authors propose an evaluation system based on program objectives meaningful to management and training specialists. Thus, objectives serve as bases for an understanding of services to be rendered. Participants and their managers use these objectives to ^{provide} feedback on how well services were delivered. Principles of the system: Focus of evaluation is not instructor presentation skills but participant job skills. Criteria for program evaluation are established before program initiation. Participants rate their own ability to perform specific activities, not the value of training content, so the system yields more valid information than in a reversed situation. Contact between participants and supervisors regarding mutual objectives and skills acquired in training is increased, while management participation increases understanding of training in the organization.

Hodgson, Richard. "Management Training in a New Key." Business Quarterly 43: 15-19
(Spring, 1978)
Relevance: 2

It is crucial to determine the specific training needs of managers. Vague diagnoses of training needs yield vague training programs, hence vague results. Once the extent of the lack of knowledge and skills of an individual are determined the proper training system can be developed. Learning experiences, whatever their form, must fully match the points of view of trainees and the needs of the client organization or the trainer cannot communicate with the trainees. Before an employee is sent to a training program a clear understanding of the purpose of the training for the individual and for the organization should be reached between the employee and his immediate supervisor. Extreme care and minute analysis must precede selection or development of training programs.

Ingalls, John D. "The Decline and Fall of Personnel." Training and Development Journal, pp. 30-32 (Jan., 1980)
Relevance: 2

The weak point of personnel operations is the compensation plan. Corporate compensation plans are unsuccessful because they pay the job, not the person. Since the individual is responsible for job performance this approach creates demotivation and decreased productivity. Improper compensation plans result from failure to describe jobs in performance and competence requirement terms. These latter must be the basis of equitable reward scales. Job descriptions should specify knowledge and competencies required to perform job tasks, and provide measurements of knowledge and skill, as well as a system of performance standards. Since each job has a definite number of identifiable measurable competencies the value of a worker to the organization can be determined, and difference between actual and theoretically optimum performance can show specific training needs. Compensation systems must reward thus encourage acquisition of increased competence.

Lazer, Robert I. and Walter S. Wikstrom. Appraising Managerial Performance: Current Practices and Future Directions. New York: The Conference Board, Inc., 1977. 122 pages. (BUS HF5549.5 .R3 L4)

This report is concerned with the state of management performance appraisal and examines current corporate practice in the context of criticisms which have been widely expressed. The authors have utilized four case studies (RCA Corporation, Chevrolet, an embryonic system, & McCormick & Company, Inc.) in an attempt to illustrate measures taken by four firms to tailor their appraisal systems to their own particular needs.

This report is divided into three sections. Part I is the "State of the Art" and contains chapters on "A Perspective" which examines the characteristics of a good appraisal system. Chapter 2 within this section is concerned with current practices of performance systems, while Chapter 3 is concerned with appraising the appraisal systems. Part II, "Case Studies", contains Chapter 4 which discusses the talent inventory of the RCA Corporation along with assessment of management practices. Chapter 5 is concerned with the measurement of management potential at Chevrolet and discusses the role of the Rater Assistant and rating scales. Chapter 6 deals with a developmental review plan of an embryonic system. Finally, Chapter 7 is concerned with putting it all together as it explores human resource policy and planning with the McCormick & Company, Inc. Part III contains the appendixes A--Ensuring the "Goodness" of an Appraisal and B--Approaches to Performance Appraisal. This report has a short bibliography of thirty-nine citations.

Data for this report were obtained from three primary sources. First from responses to a survey questionnaire from 293 U.S. corporations, second, from performance appraisal forms and manuals supplied by 125 of these companies, and thirdly, from interviews with personnel executives and consultants. Additional information was gathered from a review of professional and scientific journals, texts, and other related literature.

It was found that about three out of four companies responding to the survey in this study have one or more formal appraisal systems covering some or all of their management employees. The prevalence varied slightly by industry and markedly by management level. It was found that formal systems are somewhat more common among banks and wholesale and retail trade companies than among insurance companies and manufacturers, for example. This study also found that as one moves up the management hierarchy the prevalence of formal appraisal systems decreases. In this study 71% of the companies had appraisal systems for their middle-management employees, while only 55% did for top management. While many top executives are not formally appraised (as defined by this report) they are still assessed by their chief executive officer, an executive committee, or the board of directors on the performance and profitability of the company.

The companies in this study were asked to state the objectives for which their appraisal systems were developed, and based upon frequency their answers were grouped into eight general categories. These are:

- 1) Management development - provide a framework for future employee development by identifying & preparing individuals for increased responsibilities.
- 2) Performance measurement - establish the relative value of an individual's contribution to the company or evaluate individual accomplishments.
- 3) Performance improvement - encourage continued successful performance & strengthen individual weaknesses to make employees more effective & productive.
- 4) Compensation - pay for performance or determining equitable salary & bonus incentives based on merit or results.
- 5) Identifying potential - identify candidates for promotion.
- 6) Feedback - outline what is expected from employee against actual performance level.
- 7) Manpower planning - audit management talent to evaluate present supply of human resources for replacement planning.
- 8) Communications - provide a format for dialogue between superior & subordinate or improve understanding of personal goals & concerns.

The general agreement as to the characteristics of a "good" performance appraisal system included the following factors: reliability & validity, job relatedness, standardization, & practicality. Appraisal systems are used to affect the terms and conditions of employment and help to determine salaries, promotions, transfers, & opportunities for training. This report recognizes that the accurate evaluation of managerial performance is one of the most challenging problems confronting any organization. A company must appraise the current and future performance status of its managers if it is to prosper. This present report in its continuing concern with the issues involved in appraising employee performance focuses upon particular problems of appraisal^{of} the performance of management-level personnel. Special attention is devoted to the evaluation of the appraisal system itself which has been glossed over in the past.

I would recommend this report for the insights one may derive from not only the survey results of its study on appraisal systems, but also for the chance to examine a variety of appraisal inventories and forms from several different companies.

Leonard, Russell L., and Filer, Robert J. "Assessing Management Talent in Banking." Magazine of Bank Administration, pp. 26-29 (Nov., 1977)

Relevance: 2

Uses of assessment centers include: identification of potential for advancement or for a particular position; identification of strengths and weaknesses to establish personal development programs; identification of career planning potential and needs. Advantages of assessment centers are: Exercises simulate on the job behavior. Large amounts of information on participants is generated in a short time. Observers have no personal involvement with participants. Observers are well trained in evaluation. Information can be used effectively to develop new personnel. Assessors receive training in behavioral observation that can be used in their regular work. Development of assessment centers requires determination of dimensions crucial for success as a manager. Then exercises to measure crucial dimensions must be selected. Assessors must be trained in observational skills, and company personnel trained to administer the center.

Maris, Terry L., and Ilcisin, Laura. "The Assessment Center: a New Way to Test Management Capability." Magazine of Bank Administration, pp. 56-62 (June, 1980)

Relevance: 2

The two critical elements in assessment center design are detailed analysis of the position and selection of the most appropriate exercises for studying behaviors associated with the position. Exercises must be administered in a uniform, controlled environment to prevent bias. Training of assessors stresses behavioral observation, discussion of dimensions to be studied, and practice in report writing. Development of candidate schedules should ensure equivalency of evaluation context for everyone. Advantages of assessment centers are: assessment dimensions are defined through job analysis; behavior of participants is observed in different situations; use of several assessors increases accuracy and decreases bias; assessment is better understood and accepted than other methods.

Meidan, Arthur. The Appraisal of Managerial Performance. New York: AMACOM, 1981. 58 pages. Bibliography.

This AMA Management Briefing is divided into eight short chapters: 1) Introduction, 2) Finding the Right Criteria for Assessing Performance, 3) Methods of Appraisal, 4) Utility as a Measure of Performance, 5) Appraisal in Functional, Divisional, and Matrix Organizations, 6) Issues Arising from Current Appraisal Practices, 7) Appraisal of Performance and Effectiveness, and 8) Summary.

Chapter one defines the objectives of managerial appraisal as 1) to evaluate performers or improve performance in order to make promotion/dismissal/transfer decisions, review salaries, and identify training needs; 2) to allocate financial production, technical, and marketing resources; 3) to aid in business planning; and 4) to make possible changes in organization and control systems.

Chapter two delineates three sets of criteria used for evaluating managerial performance which include: 1) inputs--the performance of managerial activities; 2) outputs--the results achieved; 3) personal qualities--personality traits of the managers being assessed. This chapter makes the observation that quantifying performance and the criterion used often differs between profit and nonprofit organizations. For example, the criteria by which the performance of managers of nonprofit organizations can be judged might include indications of quantitative or quasi-quantitative measures involving financial reports, people reached, product or service excellence, and public satisfaction with services.

Chapter three outlines and reviews six methods for appraising managerial performance which include: 1) comparative procedures, 2) absolute standards, 3) direct index, 4) field review technique, 5) feedback of appraisal interview, and 6) performance statistics methods.

Chapter four discusses Stage II and Stage III of appraising managerial management. Stage I was dealt with earlier in the monograph as it was concerned with setting up quantifiable, observable measures of performance along key dimensions. Stage II is concerned with assigning corporate utilities to the Stage I levels of performance and Stage III compares the total corporate utility generated by a manager with those generated by other managers in comparable situations.

Chapter five describes three types of organizations in industry today: functional, divisional, and matrix organizations. A table is presented which delineates those appraisal methods best suited for each of described organizations.

Chapter six discusses the appraisal form, the appraisal interview, leniency of appraisers, validity, and effectiveness.

Chapter seven points out that there are a number of criteria that can be used to measure the performance of an organization's social system, "Social system" refers to an organization's ability to attract and retain skilled managers, the extent of harmonious interpersonal relationships and interdepartmental relationships, the extent of utilization of high-level manpower, the degree of perception of organizational goals by management, and the readiness of the organization to respond to changes in its product-market environment.

Chapter eight, Summary, warns that one key for truly effective appraisal is to use the techniques selectively and with discrimination. This requires that one understand why certain techniques do not work well in certain environments, while simultaneously exploiting the strengths of those techniques that do provide useful measurements.

Finally, Meidan lists five criteria which should be met for a successful appraisal system:

- 1) the method of appraisal should attempt to appraise a measurable organizational objective. The program used must be able to measure performance preselected, verifiable goals.
- 2) the method should be operational.
- 3) the method of appraisal should be objective; that is, it must be verifiable so that it is possible to determine whether these goals have been accomplished.
- 4) the method should be participative; that is, it must be accepted by those being appraised.
- 5) the method should be constructive; that is, it should be aimed at improving the abilities and performance of the managers being appraised.

The purpose of this monograph is to aim for successful appraisal for managerial performance and to provide the groundwork for ongoing improvement in constructing and applying appraisal systems. This work provides a clear and concise understanding of the variety of appraisal systems available and their objectives and standards of application.

Moore, May M. "'New Blood' and Managerial Potential in Academic Libraries." The Journal of Academic Librarianship. 9(3):142-147 (July 1983).

Relevance: 2

"The purpose of this study is to determine, by looking at various traits related to leadership and managerial ability, whether people who do not initially intend to be librarians bring to the field managerial potential which differs in degree from that found in people who chose librarianship as a first choice career." Librarians at 15 randomly selected ARL libraries were asked to complete three survey instruments: (1) a brief questionnaire, (2) the Ghiselli Self-Description Inventory, a device to measure managerial talent, and (3) the Jackson Personality Inventory, a standardized personality test. Of the 429 academic librarians surveyed, 274 returned usable materials, a response rate of 63.8 percent.

Personality characteristics and leadership qualities were analyzed in terms of respondents' sex and membership in three career groups: (1) first career academic librarians, (2) second career academic librarians, and (3) alternative career academic librarians. Of the 28 variables on the two inventories, there were significant differences in mean scores for the three career groups on only two variables on the Jackson Personality Inventory. First career respondents scored highest on the Interpersonal Affect scale, indicating warm, compassionate, and considerate personalities. Second career librarians scored highest on the Value Orthodoxy scale, indicating traditional, conservative personalities; whereas first career respondents scored lowest on this scale. Among women respondents from the three career groups there were no significant differences on any of the 28 variables. Among men, there were significant differences on the Social Adroitness and Value Orthodoxy scales, with first career males measuring most socially adroit and alternative career males scoring least tradition-bound.

The author concludes that librarianship tends to attract people with similar personalities however indirect their route to the profession and

that the influx of people from other fields will not significantly alter the pool of managerial talent.

Morris, Van Cleve. Deaning: Middle Management in Academe. Urbana, Illinois: University of Illinois Press, 1981.

Relevance: 2

The author brings his personal experience in academic administration to this description of the dean level in that management hierarchy. The academic dean has "a unique vantage point from which to view the entire organization" because he routinely has contact with all organizational elements, still holds a faculty position, and is at the center of personnel administration. The author describes the administrative temperament (mentioning traits like tolerance for chaos and follow-through); the faculty and its politics; the dean's role in salary, promotion, and tenure; outreach in the surrounding community; affirmative action programs; budgeting; governance; and finally, evaluating a dean. In broad terms, the process of evaluating a dean is discussed and the criteria generally described. Both the administrative style and the results of the dean's administration should be considered in the dean's evaluation. Consultancy, skill as an information mover, problem solving, and decision making are all important skills of the academic dean.

The appendices include a list of criteria for an administrative evaluation. The criteria are grouped in seven broad areas: leadership of the unit, leadership to related agencies in the external world, talent finder and builder of the unit, planning ability, accessibility and communication, resource allocation, and overall effectiveness (or output of the unit). Each broad area includes a list of performance criteria and types of specific information required for an administrator evaluation. The performance criteria would be helpful in defining administrator competencies.

"Motorola and McGraw-Hill: Why They Rely on Fast-Tracks." Training, pp. 24-5
(Sept., 1978)

Relevance: 2

Motorola Company administered a battery of tests to managers, some considered highly successful, some considered less so. Efforts were then made to determine value of the battery as an indicator of potential for management, and as an aid in identifying skills in which employees are deficient. Other methods used to identify high achievers are supervisor judgements, past performance, and current rate of growth. Test scores reinforce or question what performance and observation indicate. Test results are used to determine what job related courses employees should take. McGraw-Hill established job standards to measure performance, combined with an individual development plan consisting of college courses and in house training. A performance assessment tool is used to evaluate employee skills strengths and weaknesses, meeting of standards, promotability, courses taken and recommended.

"New Skills Profile Formalizes Task of Employee Evaluation." Savings and Loan News, pp. 100-101 (Feb., 1980) Relevance: 2

The Subordinate Management Skills Profile is a system for evaluation of middle managers based on job related factors, not on personality traits, while improvign communication between supervisor and subordinate about better job performance. Eighty statements are divided into eight managment skill categories. The respondent scores each area to reflect individual strengths and weaknesses. Both supervisor and subordinate complete the profile. During the evaluation interview results are compared and job performance assessed according to mutually agreed objectives. Responsibility for improvement rests on both supervisor and subordinate. The Profile is administered periodically to determine subordinate improvement. The Profile has several other uses: Management can use it as a performance guide. New managers can use it to focus on job requirements, and midcareer managers can see if they have drifted away from management responsibilities. Training personnel are able to identify weaknesses that suggest need for additional training.

Newman, John E. John and John R. Hinrichs. "Performance Evaluation for Professional Personnel" in Studies in Productivity: Highlights of the Literature. Series III, #14. Published by Work in America Institute, Inc. Scarsdale, New York, 1980. (SPEA HF5549.5 .B3 N48)

Susan
Johnson

This monograph contains three sections entitled Review of the Literature, Abstracts, and Recommended Reading. Review of the Literature discusses definitions of performance evaluation, purposes of performance evaluation, the issue of evaluating the performance of professionals, facets of performance evaluation, the feedback process, and ancillary issues of a systems perspective of the real world of performance evaluation. The section on abstracts contains 67 bibliographical citations accompanied with a brief description of that particular work. Most of the citations are those of articles appearing in major journals in the 1960's & 1970's. The section of Recommended readings contains 115 citations.

Newman and Hinrichs describe performance evaluation as a process involving 1) an observation, description, and evaluation of performance, and 2) a coming together of superiors and subordinates for the purpose of exchanging views regarding the employee's performance, identifying behaviors that are desirable to continue, identifying behaviors that are desirable to discontinue, and developing performance improvement plans. It is an observation-evaluation process and a communication process.

To support the supervisor, the appraisal system itself must be well designed so that it is relevant to the work at hand and needs to be accepted by both the employee and the supervisor. This monograph endeavors to outline the critical components of an effective performance appraisal process for professional employees and to highlight the importance of this management tool.

The performance criteria should meet the following requirements:

- 1) it must be valid
- 2) it must be reliable
- 3) it should be multidimensional

The following factors should be considered in choosing performance criteria:

- 1) time span covered
- 2) specificity or generality
- 3) closeness to organization goals

Newman and Hinrichs outline the following criteria of "what to measure in performance evaluation." These guidelines were extracted from research studies for several major professional groups, including managers, engineers and scientists, and educators.

¹
From Latham and Mitchell (1976) behavioral criteria for job performance include:

- 1) planning & scheduling
- 2) problem solving and analysis
- 3) interactions with others

¹ Latham, Gary P. and Mitchell, Terence R. "Behavioral Criteria and Potential Reinforcers for the Engineer/Scientist in an Industrial Setting." JSAS Catalog of Selected Documents in Psychology 6 (1976): 83 (Ms. No. 1316)

- 4) communication
- 5) perseverance and initiative
- 6) professional objectivity
- 7) leadership
- 8) job performance

From Feild and Holley (1975)² in a survey of statewide performance evaluation practices for supervisory employees, found the following variables of performance being evaluated:

- | | | |
|--------------------|--------------------------|----------------------|
| 1) initiative | 5) work habits | 9) quality of work |
| 2) human relations | 6) dependability | 10) quantity of work |
| 3) judgment | 7) organizing & planning | |
| 4) job knowledge | 8) supervisory ability | |

From Conner (1977)³ in a study of the performance dimensions of leaders in state education agencies, found the following dimensions significant:

<u>Management & Organization</u>	<u>Problem Solving</u>
1) planning & organizing	1) analysis
2) management control	2) judgment
3) delegation	3) political behavior
<u>Communication</u>	4) decisiveness
1) written skills	5) risk taking
2) oral skills	6) creativity
<u>Task Orientation</u>	7) educational perspective
1) persistence	<u>Interpersonal Qualities</u>
2) initiative	1) flexibility
3) stress tolerance	2) considerateness
4) group leadership	
5) individual leadership	
6) adaptability	

Newman and Mirrichs continue in this monograph with a description of a variety of techniques, procedures, and processes used in measuring performance. These include: critical-incidents techniques, the anecdotal report, simulated situations, in-basket tests & relatively objective criteria (tardiness, absences, accidents, sales, promotions, & salary history). The authors point out that painstaking efforts must be required to assure accurate assessment whether the measurement or evaluation of job performance be direct through direct observation or indirect through the usage of personnel records.

² Feild, Hubert S., and Holley, William H. Performance Appraisal--An Analysis of State-Wide Practices. Public Personnel Management (May-June 1975): 145-150

³ Conner, James E. Performance-Based Staff Appraisal: Diagnosing and Responding to Precise Middle-Management Needs in State Education Agencies. Final report to the Ford Foundation, Washington, D.C., 1977.

Performance evaluation is discussed from the point of view as when to evaluate, where to evaluate, and who should evaluate. The authors agree the answers to these problems are not always clear and that alternatives may include the use of peers, subordinates, the individual himself or herself, and professionals, as well as the immediate supervisor.

The next topic of major discussion is that of the feedback process. Here the authors insist that without the feedback process it is virtually impossible to learn, to adapt, or to advance. The authors rely heavily on Ilgen, Fisher, and Taylor's (1977) review of the performance feedback literature which concludes that particular attention should be given to 1) the source that administers the feedback, 2) the qualitative or evaluative nature of the feedback, and 3) the actual purpose of the feedback.

The ancillary issues include discussion on organizational value systems, the law, implementation and maintenance of the evaluation system, timing, which is related to when to evaluate performance and how often to evaluate, role of evaluators, individual differences in the desire to participate in the performance evaluation process, and problem employees.

Korman and Hinrichs point out that there is no best way to evaluate the performance of professional personnel, as situations differ and people differ. The approach that will work best for a given organization will depend on the purposes of the performance evaluation system in the organization, the techniques available for measuring those performance criteria, the nature of the people in the organization, and the context in which the organization is operating.

The most critical phase in the development of a performance evaluation system is deciding the purpose of the system. The authors point out that the performance evaluation system should be designed to help the organization become more effective by helping the individual performer become more effective.

This review has focused on the evaluation of performance and the communication of that evaluation. However, the authors have pointed out that other important factors of performance management are:

- 1) setting clear, realistic, & measurable goals & standards of performance for the organizational unit in which the individual is employed.
- 2) setting clear, realistic, and measurable objectives & action plans for the individual.
- 3) providing & receiving information regarding performance on an ongoing basis, including coaching, feedback, feed-forward processes.

Ilgen, Daniel R.; Fisher, Cynthia D.; and Taylor, M. Susan. "Performance Feedback: A Review of Its Psychological and Behavioral Effects." Technical Report No. 2 Purdue University, 1977.

- 4) making midcourse changes as necessary.
- 5) developing the individual's performance-related skills for such development
- 6) providing a physical, social, and psychological work environment conducive to high performance
- 7) providing the appropriate motivational climate

This monograph contains a very good summary on the state of the art of performance evaluation. Especially of value are the bibliographical citations listed in both the section on abstracts and recommended readings. As performance evaluations do not exist in a vacuum and must compete with other items of priority, demanding attention in today's dynamic, ever changing, turbulent organizations this monograph successfully guides the reader toward a better understanding of the field.

I would recommend this publication for the class room, especially since it forms part of a series. Other monographs in the series include: Mid-Career Perspectives: The Middle-Aged and Older Population, Worker Alienation, Occupational Stress and Productivity, Women in Management, and Financial Compensation. However, since the contents of the monograph are basic, the abstracts and recommended reading list may prove of more value to the researcher of performance evaluation than the text. Yet the text does offer highlights of the literature in the field. This publication would serve as a good reference tool and could prove to be useful.

Robinson, James C., and Robinson, Linda C. "Modeling Techniques Applied to Performance Feedback and Appraisal." Training and Development Journal, pp. 48-53 (Jan, 1978)

Relevance: 2

Shortcomings of current supervisory practices included lack of specific goals and standards for employees; lack of future orientation - concentration on employee's past mistakes; lack of supervisory skills; lack of management support for supervisors who try to implement more innovative methods. The PerforMax system seeks to solve these problems by investigating the four managerial functions (goal setting, daily performance evaluation, periodic evaluation, management reinforcement) into a system that enables supervisors to deal with employee performance on a year round basis. To that end primary performance areas are determined and goals and standards established for each area. Supervisors are trained in the five skills that permit them to give immediate feedback to superior, average and poor performers. Supervisors are provided with preparation and discussion skills vital to future oriented periodic evaluations. Managers are made aware of the objectives and operation of a performance improvement system. These skills are developed through formal training sessions.

Sazotta, Donald. "Assessing Your Appraisal Style" in Supervisory Management, December 1982, pages 2-7.

This short article briefly discusses the ranges of appraisal styles. The continuum identifies four different styles of holding employees accountable for performance. At one end are styles that take pride in attempting to change people while at the opposite end are those styles which acknowledge the reality of limited control. Based on this continuum appraisal styles are then relegated to either of four categories: the avoiders, the resigners, the demanders, and the developers.

The avoiders seek to minimize confrontation. These managers realize that appraisals must occur, but they do not make any special efforts to be over sociable during an evaluation. The resigners often feel trapped by the organization, feel they have limited power or control and have very little use for the appraisal system. They then fail to exercise control over in those areas where they have designated authority. The demanders are straightforward about employee problems and believes it is his or her responsibility to set goals, often tough goals. The attitude here is basically that a goal is more or less an order. Often this style inhibits creativity and reduces employee confidence. The fourth style is identified as the developers. These managers see themselves as mentors; they are sensitive to the employee and coach and suggest. This appraisal style works well with those employees who share the work values implicit in this approach. Developers make good workers better, but they may not be as effective with marginal performers.

At this point Sazotta presents a case study in which a range of styles are exhibited. He concludes that there is no formula for selecting an appraisal style. Styles are not right or wrong in and of themselves, but rather appropriate or inappropriate to the employee and the organization. The solution to choosing an appropriate style comes from watching supervisors and being subject to effective or ineffective styles from various superiors. In addition, it is also the ability to step back and to observe the effects of a particular style which is crucial to evaluating a style.

This article contributes to our understanding of the continuum of management styles while suggesting the development of a contingency approach whereby the managers must assess their usual appraisal styles and think through the range of styles available to them. This essay does not describe in details those attributes or features inherent in each style. There is no bibliography or references to other studies. This article is not crucial to the current study of competency requirements. However, if one is not already familiar with this concept of "contingency planning" then this article might be worthwhile reading.

Susan Johnson

**1/2

Stidger, Ruth W. The Competence Game: How to Find, Use, and Keep Competent Employees. New York: Rhomond Press, 1980. 141 pages. (BUS HF 5549.5 .R44 S76)

This book presents a practical approach to identifying and retaining competent workers. It provides an overall plan with step-by-step techniques to be utilized throughout the entire process from hiring--the application process-- to re-evaluating those long time employees who used to be competent, but have become incompetent over the years.

Stidger admits that her approach is not popular with some groups, especially those groups who support equal rewards for all without regard to the efforts used by an individual to earn his or her living. Various research efforts have been incorporated in this work in order to give it a good solid ground. For example, a specialist in psychological research designed and statistically assessed those questionnaires utilized in this book. In addition to this, research was conducted to check the legality of and validation for points that might be affected by rulings of the U.S. Equal Employment Opportunities Commission.

Stidger defines the competent worker as one who is able to do a job well and willing to put in the effort required to complete a high volume of good-quality work. This book was a result of the author's wish to find the answers to several basic problems: How do you find competent workers?; How do you hire them for a salary you can afford?; How do you keep them from leaving your company?; And, how do you define competence as it applies to your operations.

In one of the studies presented in this book it is interesting to note that the survey results found that these factors appeared as competence characteristics among top-rated employees:

- 1) Top-rated workers put family or love first in order of what is important to them.
- 2) Top-rated workers take the most pride in their work.
- 3) Top-rated workers work long weeks.
- 4) Top-rated workers are least likely to have college degrees.
- 5) Top-rated workers think money is important, but not nearly as necessary as the satisfaction of doing a job well.
- 6) Top-rated workers think accuracy is the most important element of a job well done.

All in all this work serves as a guidebook for searching for competent employees, evaluating applications; motivating people, providing incentive plans, examining the role of money, status, & competition in job performance, and understanding what causes loss of competence. I would recommend this book for those who want to find an easy and very readable source incorporating competency into their organizational structure. However, this work is too simplistic for the serious researcher, but may still yield some good points worth considering.

Smith, Judson. "Selecting and Nurturing Only Your Best." Training, pp. 21-22; 24 (Sept., 1978)

Relevance: 2

At Texas Instruments training and management ensure that candidates for top positions have early and diverse supervisory experiences with full responsibility, chances to take risks and to learn from mistakes, receive coaching, and periodical educational experiences. At AT&T the assessment center is used in a behavioral manner to create situations in which the candidate is forced to act. Participants are observed as they run a small business, deal with an in-basket exercise, and present ideas to peer groups. Administrative skills, interpersonal communications, work involvement, ability to work under stress and independently of others is evaluated. Trainers help divisions develop efficient appraisal tools and educational opportunities for training of high potential employees.

Wexley, Kenneth N. Performance Appraisal and Feedback in Organizational Behavior. Edited by Steven Kerr. Grid Publishing, Inc., Columbus, Ohio, 1979. Chapter 10, pages 241-259. (BUS HD 58.7 Q 68)

The major objective of this chapter is to review the information concerning performance appraisal within a range of ten years ^{which can} aid in ^{the} understanding of the processes involved in interpersonal evaluation and the effects of feedback upon employee motivation and performance. The other objective of this paper is to discuss the implication of those findings presented for the improvement of the functioning of performance appraisal systems in organizations.

The following issues are pursued in this article briefly. First, the discussion of the four organizational functions which are served by performance appraisal systems: information & control, motivation, development, & policy-making. Secondly, the concepts of TSD (concept of time span of discretion) and other multidimensional measures of effectiveness of job performance, such as the Halo Effect. Thirdly, this chapter discusses the relative advantages of using appraisal systems which are categorized either as:

- 1) subjective vs. objective measures
- 2) absolute vs. comparative measures
- 3) observational vs. evaluative measures OR
- 4) proficiency measures

Unfortunately, little discussion is presented concerning the techniques of constructing these methods. Fourthly and finally, parameters of performance appraisal effectiveness are mentioned. Included in this brief discussion are the concepts of construct validity, measurement deficiency, measurement contamination, reliability, discriminability, receptivity of performance evaluations, and the organizational and environmental factors affecting performance evaluation.

This article, although brief, is worthwhile studying as it makes reference to and draws upon various studies which have been conducted in the past with regard to performance appraisal and feedback.

Yeager, Joseph. "Coaching the Executive: Can You Teach an Old Dog New Tricks?"
Personnel Administrator, pp. 37-8; 40-2 (Nov., 1982)

Relevance: 2

The basis of performance lies within the individual. Performance can be enhanced by improving the individual's memory. Effective use of memory gives problem solving responses greater impact. Much of the information in the brain is not available because the individual has a limited repertoire of search patterns to retrieve it. A manager often has a favorite way to handle situations; other available skills are forgotten. Causes of performance problems are camouflaged motivation; promotion of the individual before he has absorbed essential technical skills; the individual may be prevented from performing well by elements in the system, which suggests that the system should be changed.

Bibliography

Section III

Baker, H. Kent. "Stepping up to supervision: Being Popular Isn't Enough" in Supervisory Management, January 1982. Pages 12-18.

This article briefly describes several steps for successfully achieving and/or selecting a supervisory management style. This discussion conveys the importance of translating Maslow's hierarchical needs list into motivational factors, which best respond to particular management styles. The general conclusion is that in order to effectively change one's management style, one must identify different situations and examine the effectiveness of alternative approaches for each of these situations. Thus one needs to closely observe and to get to know his or her subordinates in order to develop an effective supervisory management leadership style. Two overall objectives should be considered: 1) performance and production at defined levels of quality and 2) satisfied, highly motivated employees with positive attitudes toward their work and organization, both of which contribute to a healthy balanced concern for both people and production.

The value of this article is that it discusses how one can successfully develop a good management style through studying the motivations of one's employees.

Dalzell, Robert A. "Who's Training Middle Management?" *Managers Magazine* : 8-12,
July 1978

Relevance: 2

Training of middle managers depends on thorough knowledge of job functions and on a system to implement and follow up on training in these functions. The training system has eight components. Need: what knowledge and skills are needed to meet job function goals? What skills does the individual already have? Objectives: a statement of what the supervisor will be able to do after training. Resources: who is available to assist in training? Where, when, and how often is training to take place? What materials are needed? Constraints or limiting factors. Alternatives that will meet objectives. Selection of the best alternative. Implement--
tion of the selected program. Evaluation to make sure the supervisor is using knowledge gained to accomplish desired results.

Darling, John R., and Leonard J. Brownlee, Jr. "Academic Administration: The Search for Effective Leadership." Texas Tech Journal of Education. 9(3):163-74 (Fall 1982).

Relevance: 3

In light of the crucial role that administrative leadership plays in the success or failure of an academic institution, the authors examine the determinants of successful administrative leadership in an academic environment. The literature on leadership effectiveness can be divided into three primary approaches, one that focuses on personal traits of the leader, another that focuses on interpersonal behavior, and a third approach that deals with effective leadership from a situational perspective.

Personality traits generally associated with effective leaders are intelligence, extroversion, self-assurance, and empathy, but determining personality traits will not necessarily predict accurately effective academic leadership because interpersonal relationships and situational variable are not taken into account. Studies concerning interpersonal behavior styles of leaders generally focus on production-versus-people orientations, but again consistent relationships between leadership style and group performance have not been demonstrated because of the failure to include situational variables in the analysis. Leadership styles may vary, but effective academic leadership depends largely on the situation. Effective administrative leaders "must be flexible enough to adapt to the differences among faculty members, departments or collegiate units, and other situational variables." Important variables enhancing leadership effectiveness in academic administration include the leader's awareness of self, the environmental parameters, characteristics of the group and of individuals, and the primary motivational factors. Appreciation and encouragement are particularly important in motivating faculty members.

Hayes, James L. "Self Examination is Good Medicine for Managment." no ref.

Relevance: 2

Managerial self examination involves the following considerations in regard to subordinates. Motivation. People recognize their own needs, so they can supply their own motivation. People behave as others expect, so managers must avoid promoting negative conduct. What subordinates do makes sense to them. Managers should see job relations from the subordinate's point of view. Potential. Managers should not limit employee potential by holding them to idealized job contracts and by artificial rewards. Jobs should be tailored to individuals. Staff input should be sought when making job assignments, thus encouraging creativity and innovation. Communication. This involves sufficient rewards, frequent job discussion with subordinates, resolution of conflict through open discussion and positive solution.

Lyndquist, Gordon E. "Manpower in the Exclusive -Agent Company." *Managers Magazine*:
32-38, June 1978.

Relevance: 3

It is the responsibility of supervisors to instill in managers elements that will build an agency force. The recruit must be provided with the training necessary to be a competent

be a sales representative, then encouraged to grow and remain current.

The best people must be selected for training as managers, and this requires development of selection tools that will place the most qualified people in management.

The manager's job must be structured to enable managers to recruit, select, and develop multiple line agents. A system was developed to create clear and frequent assessment of district sales managers' performance and to establish a dialog between regional and district managers to eliminate misunderstandings.

Michael, Stephen R. Appraising Management Practices and Performance. Prentice-Hall, Inc., Englewood Cliffs, N.J., 1963. (BUS HD38 .M62)

This book describes techniques of the management audit, which in many ways is like a financial audit. The management audit is an examination of the administrative operations and organizational arrangements of a company utilizing commonly accepted standards of good management for evaluation.

The chapters in this book consider typical situations which are beneficial for conducting management audits and suggest the preliminary steps necessary for initiating such studies, as well as a description of the planning, execution, and evaluation of such a project.

Chapter five describes the principle elements of a management audit in which the collection of data is administered. Very little discussion on standards of performance, specifically qualitative standards of evaluation, occurs, with the exception of their application to forecasting and programming.

Chapter fourteen, the "Analysis of the Evaluation of Operations", describes some of the components of the evaluation process, including methods of communication (such as written reports, etc.), as well as brief mention of the purpose of reviewing, appraising, and auditing stages of evaluation.

This book is well-written and is very comprehensible for the neophyte, who needs to understand the concepts and steps of the management audit. However, this book is not of such great value for the research project of performance appraisal, evaluation and competency, for much of what is being said in this book has occurred repeatedly in recent publications which we are now reviewing.

Osborne, Aldrich, and Norton, Steven. "The Snake-Oil Syndrome (And How to Fight It)." Training, pp. 34-36 (May, 1983)
Relevance: 3

Several human resource systems are evaluated for relevance to a number of organizational activities. Systems evaluated are: assessment centers; psychological assessments, rating forms; performance standards; goal setting. The contributions each system can make to career development, supervisory activities, (coaching and planning), and personnel decisions (pay and promotion) are evaluated. The results derived from application of any of these systems depend on proper implementation by knowledgeable personnel. Damage has been done by managers who have combined performance standards and goal setting by unilaterally establishing standards. This is a common cause of failure of MBO. Standards are too often set only in easily measured areas, while standards are not set for vital areas for which establishment of standards is difficult. Effects of the various systems mentioned on career development, supervisory activities, and personnel decisions ^{are} presented graphically.

Sheibar, Paul. "A Simple Selection System Called 'Jobmatch!'" Personnel Journal, pp. 26-9; 53 (Jan., 1979)

Relevance: 3

Jobmatch evolved from an automated system designed to monitor job requisition and internal placement processes. Jobmatch is based on candidate and job profiles. The scoring system is based on response of candidates and supervisors in terms of task performance frequency. Assumptions of the system are that supervisors are the best source of what is to be done on a job, thus they are responsible for defining tasks; that a task based approach improves objectivity of supervision; that candidates are the best source of information on how tasks are performed. Task responses are scored, then put into the automated candidate file. Task profile data for available positions are entered into the automated requisitions file. Matches between candidate and position profiles are then made.

Simpson, Douglas B. "Supervisor Assessment Can Be a Development Tool." Personnel Administrator, pp. 55-56 (June 1983)

Relevance: 3

A manager assessment and development program devised at Methodist Hospitals of Memphis is described. Purposes of the system were to avoid use of formal assessment centers and to establish a system that would avoid feelings of frustration experienced by training managers. Causes of training manager frustration are lack of commitment to training from top managers; cancellation of training activities due to lack of participation to change in organizational goals; trainers are seen as cure alls for organizational needs with nothing to do with training; inability to demonstrate tangible results. The Methodist Hospitals supervisory development program seeks to eliminate these problems by identifying specific supervisory behaviors while assessing developmental needs of all first line supervisors. Managers are provided with a process by which they can assist their supervisors in developing skills, aiding supervisors on establishing specific measurable development plans, and developing training programs that meet developmental needs of supervisors and managers.

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Valentine, D.S. Setting Standards for Work Performance in Office Management
Series Number 121. American Management Association, New York, N.Y., 1948.
Pages 19-26. (BUS HF5547 .A58)

This article contains little information which is relevant to the immediate needs of performance appraisal, evaluation, and competency. It is very dated material. The author was a staff member of Sears Roebuck and Company and in this article he discusses a few of his company's experiences in setting up production standards for various types of activities found in office work. Employee education and training programs are mentioned where standard operations were set up utilizing production curves.